

CONFIDENTIAL

UNITED NATIONS/ECOPA SEMINAR ON CENTRAL SERVICES TO  
LOCAL AUTHORITIES

21 October - 6 November, 1963

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- CSLA/1 Central & Local Government (by Sir John Wrigley)  
CSLA/4 Role of Community Development in Local Government  
(by Mr. Minocher-Tomji)  
CSLA/5 Report of the workshop on the role of Local Leadership  
in Community Development (ECAT)  
CSLA/6 Some Problems facing Urban Corporation & Municipalities  
(by Dr. A.U. Shaikh)  
CSLA/7 Associations and Unions of Local Authorities (IULA)  
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CSLA/9 Intermunicipal Technical Assistance (IULA)  
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CSLA/12 Central Local Relations in India (by Mr. C. Narasimha)  
CSLA/13 Decentralisation for National and Local Development  
(by China)  
CSLA/14 United Nations Technical Assistance in Local Government  
and Administration (by Mr. Emil J. Sady).

III. COUNTRY PAPERS

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CSLA/1

1 OCTOBER 1963

ORIGINAL: ENGLISH

UNITED NATIONS/EROPA SEMINAR ON  
CENTRAL SERVICES TO LOCAL AUTHORITIES

21 October to 6 November, 1963

Paper on

CENTRAL AND LOCAL GOVERNMENT

This paper has been contributed by Sir John C. Wrigley, KBE, who was Deputy Secretary of the Ministry responsible for local government in the United Kingdom, upon invitation of the United Nations. The paper does not necessarily express the views of the United Nations

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CENTRAL AND LOCAL GOVERNMENT<sup>1/</sup>Introduction

1. The purpose of this paper is to analyse in the light of experience in England the relationship between central and local government and the part which may be played by a Ministry of Local Government in favour of the development of local government.

Some of the courses which have been taken and some of the results which have flowed in England may not be appropriate for or desired by the countries taking part in the Conference.

It is hoped, however, that the paper may assist in stimulating discussion on a number of points inherent in the central/local relationship, with a view to enabling those taking part to decide what is best for their own country.

2. The main points dealt with in the paper and the points which they appear to the writer to raise for discussion, may be summarised as:

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<sup>1/</sup> This paper has been contributed by Sir John C. Wrigley, KBE, who has Deputy Secretary of the Ministry responsible for local government in the United Kingdom, upon invitation of the United Nations. The paper does not necessarily express the views of the United Nations.

(1) The principle that local authorities have only such powers as are given to them under legislation passed by Parliament on the initiative of the central government. It need only be said that it is important to understand clearly from the outset whether this principle lies at the root of the relationship in any particular country or whether some other principle is adopted.

(2) The conception that in administrative operation the relationship between central and local government is one of partnership. The importance of this factor lies in the importance it has on the tone of the relationship and on the greater significance of discussion and persuasion as compared with direction.

(3) The influence of historical and geographical factors on development in England and the various trends of development. These references are explanatory of some features which may otherwise be difficult to understand. They are not prerequisites of the relationship as it exists today, though they have been important factors in its production in England. Members of the Conference will be able to make their own assessment of the significance of such factors in their own country.

(4) The influence of the range of the services assigned to local authorities and on their concentration so far as possible in

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the hands of a single elected authority for each area. The Conference may wish to consider the relative merits of an all or many purpose authority as compared with a number of ad hoc authorities for special purposes.

(5) The sources of income available for local government under their own control and how far the adequacy of such sources is relevant to the independence of local government.

(6) The form and amount of assistance from the central government, the Conference may wish to consider how this assistance can most appropriately be used to secure at the same time the progressive development of services, the objectives of national policy and the initiative and responsibility of local authorities.

(7) The influence of national policy and economies on the continuity and development of local government services.

(8) The influences upon the central/local relationship of the administrative procedure, practices and habits of mind of the Ministry of Local Government.

(9) The relationship between the Ministry of Local Government and other Government Departments, particularly in so far as the latter may themselves be in direct contact with local authorities.

/ Scope of

### Scope of the paper

3. This paper is based largely on the experience of the writer in administrative work in that part of the United Kingdom which consists of England outside the administrative county of London.

The relationship of central and local government may be assumed to be similar in the rest of the United Kingdom. Scotland, Wales and Northern Ireland are excluded because the writer has no experience of work there and London is excluded because the distribution of functions within local government is different from that in the rest of England.

4. Services in any particular area may be provided either directly by a local office of the central government or by a local elected authority acting under powers conferred upon it by Parliament. The former system is not local government as understood in England and it is only the latter system which is dealt with in this paper. The relationship between local and central government in regard to local government is generally described as a partnership. Local authorities in England have no inherent powers and for the performance of their functions they have only those powers which are specifically given to them by legislation. The initiation of action under these statutory powers and the administration of the service rests with the local authority but they act under ~~the~~ general supervision of a

/ Minister



Minister specified in the Act, who may be either the Minister of Local Government or a Minister concerned with some particular function; e.g. education, health, transport. The objective of the partnership is to combine the attainment of general objectives of national policy in the services concerned with the responsibility and independence of democratic local government and the success of the partnership depends largely on the extent to which this objective is secured.

5. The paper is concerned primarily with the part which has been played by a Ministry of Local Government in fostering the improvement of local government, and in the relationship of such a Ministry with other Ministries and with the local authorities.

#### General points of information

6. Before analysing these points in detail, it seems desirable, in order to avoid misunderstanding, and to make it easier to consider the possible utility for other countries of any parts of the system, to mention a few general points--the significance of some terms in general use in local government in England, the conditions under which the relationship of local and central government has taken place and the general trends of this development.

7. England itself forms part of the unitary state of Great Britain and Ireland. It is predominantly an urban and industrial country, with several large conurbations and a number of other large

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single towns, but at the same time with substantial stretches of agricultural country within which large or small towns may be dotted like currants in a cake. The distinction between the conditions and in some respects the needs of town and country and the necessity to provide for both, have been important influences in the course of local government, particularly on the formation of local government areas and the distribution of functions between local authorities of different types.

8. The existing distribution of functions within local government is based on the view that a large town with a compact area and with substantial financial resources should be treated as a single unit in which the whole of the local government functions should be entrusted to a single elective body. Such towns are known as county boroughs. In the rest of the country, the principle is that some services should be assigned to a body covering a wider area and with substantial financial resources - known as the county council - but that others should be assigned to smaller units of government, known generally as county district councils, a term which includes non-county boroughs, urban district councils and rural district councils. The word "region" has no significance in local government. It is used to represent an area, usually covering several counties, which has been adopted by the central government as a convenient unit for the administration of their own services.

/ 9. Local

9. Local government has only one source of taxation at its own disposal; the property tax known as rate . Rates are payable by the occupiers of property; agricultural land having for many years been excluded from rating as a matter of policy. Property liable to rates is assessed by the Inland Revenue authorities, assessment by the central government having been introduced in order to secure uniformity throughout the country. The amount of the assessment is the figure at which it is estimated that the property can be let. The local authority estimate the amount they will require for a particular year, after taking account of grants receivable from the central government and any other sources of income, such as <sup>rents</sup> payable for council houses. They then levy a rate, which is based on the assessable value of liable properties and is levied at a figure sufficient to meet the amount required. The rate is described as a rate of X shillings and Y pence (say 18s.6d.) in the £ of valuation. Some people may think that there is some difficulty if the rate rises above 20/- in the £ but this is not so and rates at or above this level have been not uncommon. The effect of the rating system upon the relationship of local and central government is dealt with in paras 18 to 20.

10. England is a country of relatively small area and there are few parts of it from which a journey to London and back cannot be made by train in a day. The major expansions of local government activities have taken place during the railway age and their course

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has been facilitated by the ease of contact and of the establishment of personal relations between those engaged in central and local government. The more recent development of air travel should in future make these contacts equally practicable over much wider areas.

#### Development of Local government

11. There has long been a single central government in England and also a tradition and a practice of local government under which historic units, such as the parish, the borough and the county, have performed functions of government either for purely local purposes or as a part of the government of the country. Local government, as it is now known, its area, its functions, its machinery of government, and its relations with the central government, have, however, been predominantly the result of the legislation and the ways of thought of the last century or so, and it must be admitted that what now exists has followed not so much from a comprehensive or continuous national policy but from a series of empirical extensions and improvements representing the ideas and sense of priorities current from time to time.

12. Some trends have been continuous throughout the period, while others have been subject to variations from time to time. In view of their impact upon the present position of local government, and the relationship between central and local government, a brief reference should be made to the more important of them:

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(1) A marked increase in the range of amount of public responsibility which has been continuous but the pace of which has quickened during the last forty and in particular during the last twenty years.

(2) Up to about 1930, these expanding responsibilities were generally assigned to local authorities. In the earlier years there was a tendency to create separate facilities for particular services; e.g. education, health, poor law, highways. Policy came, however, to aim at the concentration of local government functions in the hands of all purpose authorities as represented by the county borough councils; or many purpose authorities, as represented by the county councils and county district councils; and to transfer to them the functions which had previously been administered by ad hoc authorities. The policy itself which may be said to have been completed by about 1930 was a manifestation of the growth of a belief in democratic government and coincided with successive extensions of the franchise during the period. The policy of successive governments has for some time tended to assign new functions in administrative counties to the county councils rather than to the county district councils and to transfer to them some of the functions previously exercised by the latter councils.

(3) Since about 1930, the central government has come to undertake a wider measure of responsibility for the direct provision of services in some fields, some new and some taking over functions

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which had previously been, at any rate in part, the responsibilities of local authorities. Examples are to be found in the National Assistance Board, the Regional Hospital Boards established under the National Health Service, and the Regional Boards established for gas and electricity when these services were nationalised in 1947. During the same period, however, a number of local government services, of which education, welfare, housing and planning are conspicuous examples, have been developed on a much wider range and a much larger scale and the net result has been a substantial continuing increase in the performance and the expenditure of local authorities.

13. During the writer's working life, the Department which is primarily responsible for advice to central government on the relationship between it and local government has suffered several changes of name - Local Government Board, Ministry of Health, Ministry of Housing and Planning, Ministry of Housing and Local Government (its present title). These changes have not affected its focal point as the Local Government Ministry or its continuous responsibility for direct relationship with local authorities in regard to a number of important services.

14. There are, however, other Ministries which are responsible for particular services with which local authorities are concerned; e.g. Education, Health, Transport. Although it is natural that

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there should occasionally be some differences of emphasis in the attitudes of a Department which is concerned with the efficiency of a single service and one which is concerned to keep its eye on local government as a whole, it is the accepted policy of the central government that the relationship between central and local government should be consistently the same. Since the writer does not wish to go outside his own experience, the analysis which follows will be generally confined to the relationship between the Local Government Ministry and local authorities, but it is believed that it would be broadly true in regard to other Government Department.

#### Fostering Improvement of Local Government

15. In considering the role which a Local Government Ministry can play in fostering improvement of local government, it would, on the experience in England, seem appropriate to look at it under four main heads and then to make a briefer reference to a few specific points which may be said to flow naturally from the general policy.

The four main heads may be classified as:-

- (1) The assignment of functions to local authority
- (2) The financial assistance given by central to local government.
- (3) The degree of central control over the standard and amount of development by local authorities in the exercise of their statutory powers.

/ (4) The

- (4). The administrative relationship between central and local authorities in playing their respective parts in the discharge of functions relating to local government.

Assignment of Functions

16. It might shortly be said that the most important part which the central government have played in fostering the development of local government lies in their continuous policy of giving to local authorities powers and imposing upon them duties for the provision of so many and such important services. It has already been said that local authorities have only such powers as are given to them by legislation and legislation which involves expenditure from public funds, as inevitably do the major local government services, can be introduced only on the initiative of the Government of the day. For a service in which the Local Government Minister is interested or for of any general local government topic, the Minister must obtain the approval of the Cabinet and then include his proposals in a Bill to be submitted to Parliament. The Bill will usually provide for the conferment of powers upon local authorities and the initiative for taking action when the Bill becomes an Act and the kind of proposals which they will submit within the statutory powers rests with the local authorities. The Act does, however, usually provide for the exercise of the powers to be subject at specified points to the approval of the Minister and when the Bill becomes an Act it is usual for the Minister to send to local authorities a Circular to indicate the administrative procedure

/ to be



to be followed and to advise them of the kind of proposals which are likely to obtain his approval.

17. It can fairly be said that the policy of entrusting local authorities with one new service after another over a long period of years has helped to foster the improvement of local government by widening their horizons and presenting them with fresh problems for the exercise of their administrative and professional skill. It is the writer's belief that local authorities generally take, and justifiably take, a high pride in their achievements and in their sense of the improvement and responsible part which they play in government.

#### Financial assistance

18. As in any aspect of government, finance occupies an important place in the exercise of local government powers and in the relation of central and local government. The view has for a long time been accepted that in so far as local services represent objectives of national policy, it is equitable that a measure of financial assistance should be given by central government. The arguments both within central government from time to time and between central and local government have been as to the basis and amount of such assistance on which a good many different expedients have been tried from time to time.

/ 19. As to

19. As to the form of assistance, the main argument has been whether it is better to make separate grants for each service and to calculate the grant as a percentage of the expenditure of the local authority, or to have a block grant paid in total with reference to the global expenditure of local government or at any rate of a substantial range of services. The issue is still one of some controversy and the present arrangements for financial assistance include examples of both kinds.

20. As to the amount of assistance, there is a general agreement that in the partnership which exists between local and central government it is appropriate that each partner should bear a substantial part of the financial burden. Very broadly, the total result works out at approximately half and half but there are services on which special grants are paid of a higher amount, either because there is a special degree of national interest in the service or because of the importance of stimulating the development of a new service. One relevant factor in the distribution of finance lies in the cooperative financial resources available to the central and local government. Over a long period of years, the available sources of taxation have been fully exploited by the central government for national purposes. Local government have been given only one such source; the property tax known as rates. All forms of taxation are inevitably unpopular but from the public relations point of view a specially high degree of unpopularity appears

/ to attach

to attach to increases in local rates. When, therefore, the development of new services, the expansion of existing services, or even the increases due to increases in the general price level, lead to increases in rates, there are occasional demands that some service or some particular aspect of it should be regarded as a national service. On the whole, however, the accredited representatives of local authorities are in favour of retaining the full range of local government responsibilities with financial arrangements appropriate to a genuine partnership.

21. The kind and amount of financial assistance is a most important factor in the influence of the central government in fostering the development of local government. Perhaps an equally important factor is the degree of control over the amount and standard of development by local authorities in the exercise of their statutory powers. This influence may be exerted either by encouraging local authorities to do things, or discouraging, on occasion preventing them, from doing things.

#### Central control over development work by local authorities

22. Capital development is a very important factor in the expansion of services and loans are sanctioned by the Ministry of Local Government to enable a local authority to borrow the cost of the works, the money being borrowed either from the Public Works Loans Board (an organization created, specially for this purpose) or in the open market, the loan being repayable over a specified number of years which varies according to the nature of the work.

/ The influence



The influence of the central government in this field is all important, since the amount of capital expenditure by local authorities has to be looked at in relation to the total amount of capital expenditure which it is considered practicable and expedient for the nation to incur at any particular time.

23. Since we are dealing in general with local authorities whose services are already operative, the policy of the central government may, at one time, be to encourage local authorities to do more than they are doing or to discourage them from doing as much as they wish to do either in regard to their total expenditure or to their expenditure on particular services. There are, of course, difficulties in relating the changes in national policy which result from changes either in the national economic position or in priorities to the operations of something like a thousand local authorities with their own individual idiosyncracies, but it is believed that it can generally be said that, providing clear and reasonably convincing reasons are given for the policy, the administrative operation of the system is not particularly difficult.

24. The other aspect of development on which the Ministry exercise a substantial influence is the standard of works carried out by local authorities. Legislation is usually couched in general terms and the standard of works is therefore largely conditioned by the terms on which the Minister is prepared to sanction loans and/or

/ promise

promise to pay financial assistance. It is usual for the Minister to issue Circulars to give a general idea of the kind of standards and conditions which he is likely to regard as appropriate, with a measure of flexibility for local conditions or local preferences. The balance between national control and local freedom is an issue on which the practitioners of central and local government have to, and are accustomed to, find their own solution in individual cases.

Administrative Relationships between Central and Local Government

25. What has been said about finance and development, involving in each case both encouragement and control, has no doubt anticipated much that is relevant to the last main point which was postulated for study in this paper - the administrative relationship between central and local government in the discharge of functions relating to local government.

The general objective of policy is to retain as much control as is necessary to secure the broad objectives of national policy involved in a service and to leave an adequate amount of initiative, responsibility and freedom of action with local authorities in the light of their knowledge of local conditions and local needs. It need hardly be said that if this balance is to be properly struck, the practitioners of both authorities must develop a mutual understanding of one another's difficulties and be prepared for a reasonable give and take in the course of administration.

/26. The Ministry

26. The Ministry can exercise much influence in fostering this understanding in various ways. There is first of all the regular issue of information by circulars or memoranda to keep local authorities informed of the developments of current policy, of the procedure to be adopted and of the general conditions, both administrative and technical, to be observed in order to facilitate ministerial approval to proposals of the local authorities. This practice has been unkindly referred to as government by Circular but it is difficult to see what better way there is in a literate age for the continuous bulk transmission of information and guidance. Then there are conferences which may be arranged either by the Ministry or by local authorities, or by professional bodies, which provide opportunities for addresses or circulated papers and subsequent discussion on selected topics.

27. Then there are the continuous discussion which take place between the Ministry and local authorities or their accredited representatives. Within local government and on the initiative of the local authorities themselves, there have been established associations representing each of the different types of local authority - the County Councils Association, the Association of Municipal Corporations, the Urban District Councils Association, and the Rural District Councils Association. It is customary for the Minister to consult these Associations informally in advance on the matters of policy or administration which may affect their interests. Consultation does not imply the necessity for agreement but the free and frank discussion which it

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involves often increases the area of agreement and in any case promotes a better mutual understanding of problems and points of view. The way in which this kind of consultation is handled may make a real difference in the central/local relationship.

28. Lastly, in addition to these generalized contacts, there is the contact taking place every day in the working of current administration between representatives of the Ministry and elected members, administrative and professional representatives of local authorities. These meetings can have an important influence not merely in solving the particular problem for which the meeting was arranged but in developing personal relationships and mutual appreciations which should simplify and ease problems which arise subsequently. Many people would regard the measure of success attained in this day-to-day work as one of the most important factors in guiding the central/local relationship along the right channels.

29. The influence which Members of Parliament and the Press can exert on the central/local relationship is, of course, substantial. Reference to it has been omitted because they are free to exercise this influence according to their own volition and it is therefore not an influence which can be directed by the Ministry.

/ 30. The relationship

30. The relationship of the Ministry of Local Government in England with other Government Departments may be dealt with shortly. The distribution of responsibility between Ministers is primarily on a functional basis. Several subjects which bring central government into continuous direct relationship with local authorities are of sufficient importance to call for the attention of a separate Minister; e.g. Education, Health, Transport. The general principles of central/local relationship are a matter for Cabinet policy and the idea that these relations should be in the nature of a partnership with the administrative practices which this principle connotes has been long established. The Cabinet would look to the Minister of Local Government to initiate any changes thought desirable in the general structure or organization of local government or to draw attention to any developments likely to run counter to the established principles. The regular consultation which takes place between Ministers and their Departments is relied on to secure the maintenance of reasonable uniformity in the current conduct of the central/local partnership.

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ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST

In conjunction with the Eastern Regional Organization for  
Public Administration, and the Division for Public Administration,  
Department of Economic and Social Affairs of the United Nations

Seminar on Central Services to Local Authorities  
21 October - 6 November 1963  
New Delhi, India

ROLE OF COMMUNITY DEVELOPMENT IN LOCAL GOVERNMENT<sup>1/</sup>

Paper by the ECAFE Secretariat  
(Division of Social Affairs, Mr. Homi B. Minocher-Homji)

1. A great deal has been written within the last two decades, and we can be sure also read, by participants of this Workshop on the subject of Community Development (CD). We will therefore attempt in this paper, only to touch upon such aspects as help to identify CD programmes, their broad objectives, goals and modus operandi and their relationship to central governments and the technical services. We will then examine the role of CD in promoting local leadership and local institutions and attempt to determine a relationship between CD and local governments in the context of socio-economic development at local levels. Finally we will endeavour to test this relationship in some of the local government programmes of this region.

COMMUNITY DEVELOPMENT

2. The definition of "Community Development" is already circulated to participants. The objectives of CD programmes naturally vary from country to  
/country,

<sup>1/</sup> For this paper, the author has drawn on his earlier papers "Community Development and Local Government" and the "Role of Community Development in the Development of Rural Health Services" published respectively in Community Development Review, March 1961 : Community Development Division, International Cooperation Administration, Washington D.C.; and Report on the First Regional Seminar on Rural Health Services, Regional Office for the Western Pacific of the World Health Organization, Manila.

country, depending on the needs of governments and of people. Quite frequently there are heavy shifts in the emphasis even within the specified objectives, in the same country, depending on urgencies or emergencies of the moment, so that some programmes focus on economic or agricultural priorities, some on creating of local leadership and popular institutions, some on providing of social welfare services and some on internal defensive needs or 'civic action'. Objectives may also differ within the same country for rural and urban CD programmes, depending on the needs. Generally, however, the objectives are:

- "(a) to raise rapidly the productive output and real income of the villager by bringing to him the help of modern techniques of farming, sanitation and health co-operatives, cottage industries, etc.;
- (b) to multiply the community services available in rural areas such as schools, dispensaries, health centres, hospitals, sources of pure water supply, etc., thereby increasing the national assets;
- (c) to create a spirit of self-help, initiative, leadership and co-operation among the villagers which may become the foundation of an independent, healthy and self-perpetuating economic, political, civic and social progress;
- (d) to create conditions for a richer and higher life through social activities, including recreational facilities, both for men and women;
- (e) to co-ordinate the working of the different departments of the Government and to extend their activities into the villages by providing an extension service to these areas.
- (f) to give a welfare bias to the entire administrative structure of the Government."2/

The broader objective however, is to build as quickly as possible, a national socio-economic infra-structure, of a type and scale which is considered minimal in order to base thereon, the future self-perpetuating growth of the nation, both socially and economically. In effect, therefore, CD aims to provide an effective bridge between the under-developed "cartwheel"

/socio-economy

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2/ Village Aid Administration, Ministry of Economic Affairs, Pakistan, Village Aid, Five-Year Plan, 1955-1960.

socio-economy of the region and the projected "jet age" growth of a modern, strong, independent and self-reliant nation.

3. "CD programmes are generally classified into three types:

Integrative type. This type of programme is designed to be country-wide in scope, emphasizes development, and the co-ordination of technical services, and may involve in the early years substantial changes in the administrative organization and functioning of government. It has a readily identifiable organization which is designed to marshall and co-ordinate at each level the efforts of governmental and non-governmental agencies which can make a contribution to community development. In some cases, new administrative areas are created within the traditional ones in order to co-ordinate technical services at a point closer to the people. Substantial technical and financial resources are channelled through this organization to achieve centrally planned development goals.

Adaptive type. This type of programme is country-wide in scope, places emphasis on community organization and self-help, and involves little change in administrative organization of government. It is designed primarily to stimulate self-help community effort toward locally-determined goals and to attract the support of the technical departments thereto. Programmes of this type will be referred to as the adaptive type because they can be attached to almost any department and otherwise adapted to the prevailing administrative organization of government.

Project type. This type of programme is multi-functional but limited in geographic scope to certain parts of a country and usually emphasizes development."<sup>3/</sup>

Broadly in Asian countries, we find the integrative type of programmes. Whatever the type, the programme will depend heavily on finding, training and utilizing lay leadership, on promoting popular institutions at the community level, on working through such institutions and groups and on emphasizing self-help activity.

/TECHNICAL

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<sup>3/</sup> Public Administration Aspects of Community Development. ST/TAO/M/14  
United Nations Office for Public Administration, New York 1959 pp. 3.



## TECHNICAL SERVICES

4. In most countries of this region, technical services are not sufficiently organized to reach down to the village level, mainly because of want of adequate resources and trained personnel. Generally, they reach only the district or sub-district levels, and this single subject-matter technician, is often expected to serve a group of 200-300 villages. This has made it impossible for the technician to come into any direct contact with the people in the villages, and the people have therefore not gained from such services. This problem is further accentuated by an absence or dearth of adequately strong popular institutions, voluntary organizations, effective co-operatives or efficient and well organized local governments, for servicing the needs of the people. Some advance-guard action for development, particularly in areas deficient in technical supplies and services or in local governments, thus becomes necessary. The most economic and efficient way, is the use of a Multi-Purpose Village Level Worker (MPVW).

5. Some of the major CD programmes of the region have accordingly trained and utilized as the front-line CD practitioner a MPVW. This paid official of the government has several functions, but mainly he is trained to be a motivator of the people, who continually lives within the village and works with the people. He germinates in them the aspirations for a better life; shows them the avenues for achieving such a life by their own individual and joint efforts; forms them into co-operative, democratically operating, informal representative groups; guides them to the ways and means of undertaking, planning and implementing local self-help projects under local leadership; and in that process makes himself into a two-way operating channel of communication, which on the one hand makes available to the people the co-ordinated departmental services and supplies of the government and on the other hand conveys to the appropriate government departments, the needs and aspirations of the village communities.

6. The MPVW can act as the common extension arm for all departmental services, between the sub-district levels and the villages and become the channel for co-ordinating and extending governmental services. To be able to do so successfully, he is trained in the basic and elementary skills of each departmental service, just sufficiently to act as a "first-aider" and to supply such services,

/or transmit

or transmit such skills, directly to the local community, on an "as required" basis. His main training however, is in working with people, individually and in groups and in organizing communities on the principles of self-help and self-determination. The women village workers get a greater emphasis of training in the domestic sciences. In both cases the test for successful learning is based on the ability to organize the communities and to demonstrate those skills to villagers in such a way as to gain their voluntary adoption. Wherever the community's capacity is sufficiently developed, so as to require more advanced services, the MPW assists the departmental technician to operate more directly and efficiently, through well-organized and receptive popular groups which the MPW can successfully mobilize. With slight modifications in the emphasis, this technique applies equally to rural areas and urban neighbourhoods, albeit to meet different needs.

#### INSTITUTIONALIZATION

7. By their very nature, scope, dimensions of geographical coverage, and inter-departmental activity for development on a broad base, the CD programmes in this region have been initiated by Central Governments, and the initiative provided by civil servants. But indeed "it would be a sorry CD programme which aims to sustain itself indefinitely on governmental resources only. The very principles of self-help, self-development and self-government demand that local leadership and local institutions take up and exercise responsibilities for local development as soon as possible".<sup>4/</sup>

8. CD techniques and processes help to educate people into forming self-helping, democratically operating, popular organizations, able to look after their day-to-day needs and requirements with appropriate amount of assistance from the government. Such dynamic growth in people's competence, once achieved, can however be perpetuated by formalization, under statutory institutions of people like the co-operatives (for future economic growth) and local-governments, (for future social and political growth). Such strengthening of the broad rural or urban base and its active participation in national development, as also such opening up of channels of communication, between this base and the central government, can conceivably provide to the governments themselves, a measure of stability and popular support.

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<sup>4/</sup> Statement by U Nyun, Executive Secretary, ECAFE, at the opening of the Workshop on "the Role of Local Leadership in Community Development".

Institutionalization is thus a logical progression for community development processes and Local Government one of its desired forms. Community development processes are the training or proving ground for the assumption of larger and more formal responsibilities under local government. They can provide a cadre of trained and experienced local leadership, sufficiently competent and able to undertake additional local government and citizenship responsibilities. There is no substitute for this learning by doing, by trial and by error. There are no short cuts. Without such a preliminary voluntary organization, training, proven experience, self confidence, local institutions, and local leadership, any initiation of local government may well become an empty shell, a formal superstructure imposed from above, which people may not recognize or accept as their own institution. It may well be looked upon as a governmental institution and a form of decentralized administration of government but not an institution in which popular leadership can effectively participate. That has been the experience of the past.

#### LOCAL GOVERNMENT

10. Therefore, in any country, (or parts of a country), when its community development programme has sufficiently advanced and local communities have achieved a stage of adequate competence in self-determination and self-development, the government would indeed do well to perpetuate such development by giving it recognition and granting it the status of a statutory institution within its approved pattern of local government. Such form of local government should be provided with adequate statutory authority, administrative privileges and taxing powers or other fixed sources of revenue, all aimed at enabling the institution to maintain and perpetuate a high standard of local socio-economic development through self-determination. Local governments can also exercise some of the revenue, judicial, policing, developmental and administrative powers of the central government. Central government's day-to-day administrative expenditure and burden to that extent can decrease, popular participation in national development increase, the bonafides of the government more firmly established in the minds of people, and a popular but vital interest in maintaining the stability of government ensured.

/11. A careful

11. A careful analysis of the functions and modus operandi of the twin programmes of community development and local government drives one to the inescapable conclusion that each must continually supplement and sustain the other or both will be ultimately lost and become ineffective. If local government and its assured resources do not take over the responsibility inter alia of financially supporting community development in the long range, then for want of outside resources, recognition and stimuli, community development will languish and relapse. On the other hand, if local government is imposed on a community without adequate training in the community development processes, in democratic self-determination, in experiences gained by trial and error, in bringing up proven leadership and in active participation of people in their day-to-day affairs, it may well become a political pressure point with little or no responsibility or sympathy for catering to local aspirations of the people it represents.

#### INTER-RELATIONSHIP OF CD AND LOCAL GOVERNMENTS

12. Therefore the problems now before us are: how to co-ordinate these two processes and institutions so that each supports the healthy growth of the other, without undermining its own distinct character, principles, institutions and general growth in any way? What should be their respective priorities? How to make the best use of our meagre national resources and short of duplicating the two hierarchies of local government, and community development at every level, use one in the best interest of promoting the other? What role does local leadership play in these two processes? Again, how best to co-ordinate both these institutions with the working of the other technical departments of government so that these institutions become their effective and accepted 'extension' at the village level and a channel of communication with the people?

13. Perhaps each country may need to work out this problem in the light of its individual needs and national goals and so, we can at best only generalize:

"Local governments engaging in community development can be strengthened by the development of local leadership and resources for their support. On the

/other hand,

other hand, a community development programme may be initiated by the national government in those areas of the country where no functioning local governments exist. The stimulation of the people into mobilizing their resources can, in time, create demands for a more formal institution of community decision-making - in other words, a local government unit.

14. "By implication, at some time in the future the present concept and character of a national community development programme will to some extent change. That time will be reached when local governments are able to assume the leadership in place of the central government and provide the means for extending technical and related services to the local communities.

15. "The experience of countries in the region indicates the desirability of "unloading" onto local units of the government the responsibility for community development. "Unloading" simply means that higher levels of government will progressively delegate responsibility and encourage local levels, as they develop the capacity to assume it. It also means that, where appropriate, these local units of government shall be assisted in this undertaking, even to the extent of directly providing some services and resources during the critical periods of transition.

16. "It should be the responsibility of national government administrators to plan for the gradual assumption of the community development programme by local governments, and for shifting the leadership and costs to successively lower administrative or governmental levels. Save for certain functions that should be retained by the central government, all functions should gradually devolve upon local government bodies in accordance with their capability to discharge them at respective levels of local government, the objective being for the largest possible measure of functions to devolve upon the primary units of local government.

17. "In view of the hesitancy of those who exercise power and authority to delegate them and for fear that any delay such delegation by citing the

/incapacity

incapacity of lower units to exercise them, the taking of calculated risks in this regard may be necessary, especially as the actual exercise of such powers provides the best training ground for the development of responsibility.

18. "The central government should retain certain important functions which should not devolve on local government bodies. These would be over-all planning of the community development programme; training; the laying out of uniform standards for recruitment and appointment; evaluation and research; budgetary allocations; and the setting up of standards of work.

19. "Where local government bodies do not exist, local participation in the community development programme should be encountered as an interim measure by introducing such programmes or by extending the coverage of existing programmes through voluntary or popular organizations or by any other practicable means subject to adequate safeguards.

20. "Where local government institutions exist only at a higher level, ad hoc bodies may be created in the villages and the representatives from the village to the higher body should be closely associated with, or be members of, the ad hoc body. These ad hoc bodies should lay the foundation for local government which is considered essential for the successful operation of the community development programme".<sup>5/</sup>

/LOCAL LEADERSHIP

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<sup>5/</sup> Report of the Asian Seminar on Planning and Administration of National Community Development Programmes, Bangkok, Thailand, 22 Aug. - 1 Sept. 1961; UN Document No. ST/TAO/Ser.C/54, paragraphs 48, 49, 51, 54 to 56, 59 and 60.



## LOCAL LEADERSHIP

21. In all cases however, the key to successful programmes of local government or local development, must be ultimately in the competency of local leadership:

"Through most countries in Asia are actively promoting the growth of local government institutions, these are still not sufficiently strong or equipped to take over from national governments full responsibilities for local development. Hence, most of these countries have adopted the principle of encouraging local communities to participate with the government in the planning, financing and implementation of local development projects as a necessary first step towards transferring these responsibilities to the people....

22. "Progressive local leadership can play a very important role in involving local communities in development programmes. National governments need local support, not only in the formulation and implementation of these programmes but also in the form of community self-help efforts to supplement the limited resources available to these governments to meet the ever-growing needs of the people in an era of rapid economic and social change.

23. "Local leaders can arouse the interest and awareness of the people in local development, provide information and guidance, and mobilize local resources for development programmes ... The government can use local leaders to educate and motivate the people; to provide through them information, guidance and supervision so as to ensure that locally planned projects conform to desired targets and standards and that government aid is effectively utilized.

24. "The strengthening of existing local government and other development institutions and the establishment of new institutions are means of promoting and sustaining local leadership. Such institutions provide further opportunities for the emergence of new progressive and enlightened leaders, who will in time be able to take a large share in their activities.

/ 25. "The role

25. "The role of the community development worker should be to promote local leadership and thereby strengthen local institutions; but these agents of change are generally trained and appointed by the national government, and are therefore responsible to them. They become more effective when they are placed under the control of local bodies, as is now being done in some countries; however, it is usually very difficult for the local authorities to find the necessary funds to pay their salaries, so sharing of the costs between central government and local authorities until such a time as the latter are in a position to meet these obligations themselves would seem to be the best solution ....

26. "Local institutions need technical support and guidance from higher level echelons. Generally, government technical personnel operate from the district or sub-district level and it is necessary for local leaders to be provided with opportunities to keep in regular contact with them. Some countries of the region have established statutory or ad hoc committees at the higher levels of the administration in which local leaders participate with the government authorities and various extension personnel in local planning and development.

27. "In several countries, the promotion of more local institutions to meet the changing requirements of local communities has created the need for suitable machinery at the local level to co-ordinate their activities and thus prevent overlapping unhealthy rivalry and wastage of resources. Where strong local government institutions are functioning it may be possible for them to effect this co-ordination; co-ordinating committees representing the various institutions and interested groups in the community are another effective means of achieving this end. Co-ordination at the local level may not, however, succeed unless there is also effective co-ordination at the higher levels. Good co-ordination at the district and sub-district levels as well as the national level depends on the authority and personality of the civil servant and his own conviction as to the value of community development, as well as upon the co-ordinating mechanisms contrived by government. Excessive departmentalism has often retarded local development".<sup>6/</sup>

/ EMERGING

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<sup>6/</sup> Report of the Workshop on the Role of Local Leadership in Community Development, Bangkok, 21-31 August 1963. ECAFE document SA/LCD/8 dated 31 August 1963, paragraphs 60 to 62, 64 and 73 to 75.



## EMERGING FORMS OF LOCAL GOVERNMENT

28. The current forms of local government in several countries of the region, more particularly the Panchayati Raj of India, the Basic Democracies of Pakistan and Barrio Governments of the Philippines, appear to have been initiated and patterned in this manner and bear a direct working relationship with community development programmes. In some cases the financing for community development work is channelised through the local governments; local rural and urban development programmes are made the statutory responsibility of local governments; community development organizations have trained the elected local leaders for assuming offices in local government; and community development officials at different field levels have been employed by local governments as secretaries or other functionaries. At the higher echelons, CD officials have assumed advisory, coordinative, secretarial, budgetary and planning responsibilities. With the inception of local government some countries have delegated full responsibility for community development to their local governments. Other have continued with the two programmes of Community Development and Local Government concurrently and established a working relationship between them, in which the District Administrative Officer plays a vital role.

29. In Indonesia, the village headman and his village council (both elected) are directly assisted by the community development functionary (and finances) in coordinating all socio-economic programmes for village development even though the formal grant of local government status to the Desa (village or group of villages) level, being the third stage of a progressive grant of Local Government status in Indonesia, has not yet been statutorily approved. Ceylon is currently in the process of re-organizing its local government structure, as one result of the recommendations of the U.N. Report of a Rural Development Evaluation Mission (U.N. Document TAO/CEY/12) and this, it is hoped, will more clearly identify the respective areas of operation of Community Development and Local Government and streamline their respective responsibilities for local development.

/ 30. In some

30. In some countries like Nepal and Pakistan, the basic local government units have also assumed a political role, in respect of acting as the electoral colleges for the Provincial and Central legislatures. They also exercise certain administrative, fiscal, judicial, local policing and developmental powers delegated to them by the Government. The delegation of this latter power, has made it possible for local governments in several countries to act as successful coordinators of technical services of the government - much better than the community development programmes ever could do, they being themselves the creation of one department of the government. The District Administrative Officer further assists this process of coordination.

31. Inasmuch as community development is a specialised technique, it would seem that the government even under such delegation of powers to Local Governments, should continue an indirect interest in maintaining conformity of standards, exchange of (international and national) information, foreign and national level training and other technical assistance, technical supervision and audit, evaluation and budgetary support. Conforming to this analogy, we have no hesitation to suggest that in politically immature countries or in countries having newly established local government systems, such training, supervision and support ought to be extended for a prefixed number of initial years, even to the local governments themselves. We would like to conclude by saying that local governments will only be as strong and responsive as the Central Governments will wish to make them. Conversely, Central Governments will only be as politically stable, popularly supported and deep rooted in the soil and in the people, as local governments can make them.

32. It may be of some interest to participants here, to know that a study will shortly be underway by ECAFE, which will endeavour to trace the role of local governments, cooperatives and voluntary agencies in community development. It will be based on five country studies within this region. A Workshop on the same subject late in 1964 or early in 1965 will attempt to further crystalize these roles and inter-relationships, and based on the experiences of participating countries, try to identify and analyse the elements, procedures, priorities, techniques and the distribution of national resources within these programmes, with the view to suggesting ways and means of promoting an efficient, economical, coordinated, and well-balanced, all-round programme of integrated local development. The proceedings of the present seminar will provide some sound guidelines in that direction.

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SA/LCD/8

31 August 1963

ORIGINAL: ENGLISH

ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST

Workshop on the Role of Local Leadership in Community Development

21-31 August 1963  
Bangkok, Thailand

REPORT OF THE WORKSHOP ON  
THE ROLE OF LOCAL LEADERSHIP IN COMMUNITY DEVELOPMENT<sup>1/</sup>

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<sup>1/</sup> This report is subject to revision before it is published as a United Nations printed document.

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## I. INTRODUCTION

1. The role of local leadership in promoting and sustaining community development programmes is vital. A measure of success for the programmes is the extent to which local leadership is inspired and enabled to undertake increasing responsibility for planning, administering and financing projects of local development. The very principles of self-help, self-development and self-government demand that local leadership and local institutions take up and exercise this responsibility for local development, as soon as possible.
2. At the village level, there is an intimate knowledge of local resources and local ingenuity to supplement the knowledge and technical assistance rendered by governmental services; but that can be harnessed only by the active co-operation of local leaders. Local leadership and initiative are thus very important elements of community development. Community development programmes in turn attempt to foster civic responsibility and political maturity through providing at the local levels opportunities for co-operative programme planning and decision making.
3. Only with the growth of such healthy local leadership can the large rural and urban masses in this region become effective citizens, alive to the needs of development in the modern age and responsive to the requirements of their local communities or groups. Only such an enlightened leadership can provide the broad political and stable base so necessary for the socio-economic growth of a nation and bring about an effective understanding and confidence between the people and their government. Perhaps the future growth and stability of Asian countries will greatly depend on the extent to which such local leadership can be revitalized and made capable of sharing the responsibilities of the state.
4. Hence, an insight into the characteristics of such leadership, the methods of identifying it, the provision of educational opportunities for fostering and supporting it and the methods of involving such leadership, assume the utmost importance in the context of developing and sustaining sound democratically oriented programmes of local development. Any guidelines in this regard, it is felt, will be of the utmost use to governments of the region.



#### Origin and sponsorship

5. The workshop was sponsored as a United Nations technical assistance regional project. It was included in the work programme of ECAFE for 1963 as a consequence of approval by the Commission's seventeenth session and was featured in the Social Commission's work programme for 1961-1963. ECAFE conducted the workshop in co-operation with the Bureau of Social Affairs and the Bureau of Technical Assistance Operations.

#### Objectives

6. The objectives of the Workshop were:

- (1) To provide an opportunity for senior officials and experts of selected countries in the ECAFE region concerned with the promotion, involvement and training of local leadership in community development and related programmes to exchange views and experience on:
  - (a) essential characteristics of local leadership for community development;
  - (b) methods of identifying local leaders possessing these characteristics and involving them in community development and other local development activities;
  - (c) provision of educational opportunities for development of their potential skills;
  - (d) encouragement and support needed to sustain their leadership activities in development programmes.
- (2) To prepare a report on the role and related aspects of local leadership in community development and other local development programmes which could serve as a guide to those who are engaged in promoting these programmes in the countries of the region.

#### Participation

7. Experts from ten countries, Afghanistan, Republic of China, Federation of Malaya, Indonesia, Iran, Japan, the Republic of Korea, Laos, Nepal and Thailand, attended the Workshop. All country participants were invited to

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the Workshop in their capacity as experts and not as representatives of their respective governments. In addition, discussion leaders were nominated by ECAFE from four other countries within the region with considerable experience of national community development programmes. Two United Nations Bureau of Technical Assistance Operations experts advising governments within the region, were invited as resource persons. The Workshop was also attended by experts from Hong Kong and the United States of America as well as representatives of specialized agencies, viz. ILO, FAO, UNESCO, and WHO; non-governmental organizations, viz. the International Co-operative Alliance (ICA) and World Veterans' Federation (WVF); and a number of training and research institutions within the region, viz. the UNESCO Research Centre for Social and Economic Development in Southern Asia, the Academy for Rural Development, Comilla (East Pakistan), and the Community Development Research Council, University of the Philippines. The Asia Foundation participated on special invitation.

8. The list of participants is at annex I.

#### Working papers and documents

9. The working papers and documents used by participants are detailed at annex II. In addition to the four papers contributed by the discussion leaders, the UNESCO Research Centre for Social and Economic Development in Southern Asia also very kindly volunteered a paper on "Report on Leadership Studies in Southern Asia." Considerable reference material on the subject under discussion was voluntarily brought by participants and distributed or displayed at the Workshop. Films on rural development in Malaya were shown by the expert from the Federation of Malaya and a pictorial exhibition on audio-visual aids was arranged by the expert from Japan.

#### Opening ceremonies

10. The formal inauguration of the Workshop was carried out by U Nyun, Executive Secretary of the United Nations Economic Commission for Asia and the Far East at Sala Santitham, Bangkok, on 21 August 1963. His opening statement was followed by a statement from the Acting Regional Representative of the United Nations Technical Assistance Board and the Special Fund Programmes in the Far East.

The participants unanimously adopted a vote of thanks to the United Nations and to the Government of Thailand. Mr Ram Bahadur Rawal (Nepal) was elected as Chairman of the Workshop; Mr Achadi (Indonesia) and Mrs Suparb Visessurakarn (Thailand) were elected as Vice-Chairmen. Mr P.H.P. de Silva was appointed rapporteur by the United Nations.

#### Agenda

11. The agenda was unanimously adopted by the Workshop after a slight modification. It appears, as finally approved, as annex III.

#### Reporting Panel

12. To assist in the consolidation of discussions in the plenary sessions and to facilitate reporting, a Reporting Panel was organized by ECAFE. The members of the Panel were: the Chairman of the Workshop; Prof. L.H. Palmiers; the discussion leaders; the work group chairmen and secretaries; the rapporteur, Miss Dorothy Moses; Mr H.C. Chang and Mr H.B.M. Homji.

13. The functions of this Panel were:

- (a) To consolidate the results of the plenary discussions in a written summary form;
- (b) To present the consolidated discussions to the plenary session, for approval prior to inclusion in the report;
- (c) To clarify to the plenary session, if so required, any points intended for the report;
- (d) To assist the rapporteur in drafting, editing and completing the report as a continuing process throughout the Workshop.

/The procedure

The procedure of work

14. To facilitate discussion of items of a general nature which required the full sharing of experience gained in countries of the region and in order to arrive at a common understanding on the subjects under consideration, plenary discussions had been arranged. However, for items needing more detailed analysis, discussions were arranged in two work groups. Each work group discussed a different subject concurrently.

Adoption of the Report

15. At the concluding session, this report was unanimously adopted by participants. During the closing session participants while expressing their gratitude to the United Nations for providing such a fruitful opportunity for the exchange of valuable experiences on this vital subject, also thanked the Government of Thailand for its various courtesies. The participants also expressed their conviction that a great deal of new knowledge had been acquired by them which they would profitably use in their respective country programmes.

/II. CHANGING

## II. CHANGING NEEDS AND CHARACTERISTICS OF LOCAL LEADERSHIP IN ASIAN COUNTRIES

### A. Local leadership roles in meeting changing needs in local communities

16. The developing countries of Asia have been concerned especially over the past two decades to raise the level of living of their peoples. The old social order is being assailed by forces of change. The new forms of government adopted by several countries, the extension of education, land reforms, economic change, development of transport and communication facilities are among the more important changes which have led to a new awakening and have aroused new aspirations among local communities. The governments of these countries are facing the challenge of rapid promotion through local development programmes of the economic and social well-being of local communities. Such development programmes must necessarily affect the existing structure of local society and call for a combined effort on the part of national governments and local communities. Rapid development, including the processes of urbanization and industrialization, require the application of modern methods and techniques of production, management and organization which require changes in peoples' attitudes, ideas and practices. The rising expectations of the people and their increasing desire to manage their own affairs also require the devolution of responsibility from the government to the people for planning, financing and administering local development programmes.

17. The important role that local leadership can play in promoting local development policies and programmes has been acknowledged by Asian countries. Local leadership, if properly encouraged and supported, can play a significant part in educating and influencing local communities, in arousing their awareness, interest and enthusiasm, and in mobilizing their participation in

/community

community development<sup>1/</sup> and related programmes. The role of leadership is crucial in fostering or impeding such development. The new forms of government accepted by most countries of the region cannot function effectively and meaningfully unless the people themselves through their local leaders assume progressively increasing responsibility for planning and executing local programmes integrated with national plans and policies. Development in this context means social, economic and political advancement to the point where the community can generate its own development with the support and co-operation of government.

18. True leadership is shown when a number of people are freely influenced in a certain direction by one or more individuals, whom one may then call the leader, or leaders. Such leadership should be distinguished from the traditional heads of local communities or those who hold office in local government agencies, as they achieve their objectives through authority rather than leadership.

/19. Leadership is

1/ Community development has been defined by the United Nations as follows:

- "1. The term "community development" has come into international usage to connote the processes by which the efforts of the people themselves are united with those of governmental authorities to improve the economic, social and cultural conditions of communities, to integrate these communities into the life of the nation, and to enable them to contribute fully to national progress.
- "2. This complex of processes is then made up of two essential elements: the participation of the people themselves in efforts to improve their level of living with as much reliance as possible on their own initiative; and the provision of technical and other services in ways which encourage initiative, self-help and mutual help and make these more effective. It is expressed in programmes designed to achieve a wide variety of specific improvements."

E/2931, Annex III of 18 October 1956. Part one, paras. 1-2.



19. Leadership is the product of a given situation and there can be more than one leader in a group or community, each performing different leadership functions. In the changing social, economic and political context of Asian countries there is a need for broadening the base of local leadership and making it development oriented. The organization of people's institutions is necessary to promote and sustain democratic local leadership.

20. There is a need to undertake research into the relationship between various types of leadership and their effectiveness in community development and related programmes.

B. Traditional leadership existing in Asian countries

21. In many Asian countries traditional leadership continues to play an important role in local communities as is evidenced by the fact that, even in newly formed local institutions, traditional leaders occupy a majority of leadership positions. It is to be realized that, under the existing family and group structure in Asia, the traditional leader is likely to continue to occupy an important position for some time to come.

22. By traditional leaders are meant those who have acceded to positions of authority in the local community through that community's traditional means of selection. Research so far conducted in certain countries in the ECAFE region has shown that such leaders tend to be drawn from those who have social and economic advantages and are of advanced age. They are exemplified in such persons as heads of family and caste groups, landlords, religious dignitaries, village headman, tribal leaders, etc. Particularly, in the context of urban situations they may also be drawn from trade and industry. However, the means by which a leader accedes to office do not determine his type of leadership. Traditional leadership is to be regarded as that which is concerned with the maintenance of the status quo, and new leadership as that which desires to introduce innovations. The same person, no matter how he accedes to his position, may exhibit either type of leadership. A traditional leader may consistently be concerned with the introduction of innovations; or he may alternate between conservatism and innovation; or he may be conservative in some fields and progressive in others; or, of course, he may be consistently conservative. The same can be said about an emergent leader who acquires his position by non-traditional means.

C. New leadership emerging from changing needs in Asian countries

23. Community and other development activities and the promotion of popular organizations to undertake development programmes create the climate and conditions for the emergence of new leadership. The growing needs of communities in a developing society require the establishment of functional organizations to provide specialized services to the members. Examples are local self-government institutions, co-operative societies, farmers' associations, artisan groups, women's organizations, youth clubs, etc. All such institutions require leadership which is responsive to the needs and aspirations of the people and trained to perform such leadership functions effectively. Leadership in this context is the product of a given situation. The source for such leadership may come from the existing traditional leaders properly oriented to their new roles and functions or they may be drawn from among new people. This new leadership should generally be democratic and help the followers to reach the point where they can make decisions for themselves. However, the development of this type of democratic leadership cannot be really hoped for in an environment where the social and economic structure of society remains biased in favour of an authoritarian type of leadership. Hence various reforms may be necessary if the new type of leaders are to emerge in sufficient numbers.

23. However, even when these reforms are accomplished, it cannot be assumed that new leadership will necessarily arise spontaneously. What is further required is the creation of local popular institutions which will bring forward and support the new leaders.

24. Research in some countries shows that, in recent years, there has been a numerical increase of new leaders. Local people have become aware of their own rights. Furthermore new characteristics are now looked for among local leaders. Whereas wealth, position and influence were considered important earlier, the new emphasis is on courage combined with honesty. Moreover, the experience of participants indicated that initiative, education, ability, service and achievement are also among some of the more important characteristics of new leaders.

/D. The role of

D. The role of these two types of local leadership in community development programmes

25. Both traditional leaders and emergent leaders are necessary for local development programmes. It is neither desirable nor possible to dispense with those traditional leaders who have the support of the people. Development programmes have a better chance of success if such traditional leaders also put their weight behind them.

26. However, in view of the increasing number of leadership tasks required by any development programme, there is a need for new leaders to undertake different leadership functions which call for new attitudes, outlooks, approaches and skills.

27. Leaders cannot be effective unless they are supported by the community. The authorities external to the local community should limit themselves to creating the right climate for the emergence of new leadership.

28. The possibility of conflicts must be admitted between those traditional leaders concerned with the maintenance of the status-quo and new leaders concerned with changing situations. It is not always possible to resolve all such conflicts even in advanced societies. While much can be done by governments and other external agencies through education, information and guidance to reduce the area of conflict, in the last analysis, their resolution should preferably be left to the local leaders and the community.

E. Role of the civil servant in community development and related programmes

29. The civil servant has to play an important role in promoting local development. He represents the government and it is through him that technical knowledge and skills, financial and other forms of government assistance and supporting services are provided to the local community for planning and execution of local development projects. He is also an extension agent who stimulates local effort and develops the leadership potential in village communities. He should not however assume leadership himself. He should be more an enabler than a leader.

30. Broadly speaking, the government should as soon as possible delegate purely local matters to the local community so that local leadership acquires a real sense of responsibility, self-reliance, initiative and the wherewithals for local development. Local leadership and organization should be so promoted that they are ultimately able to take over increasing responsibility for local development and local self government. The government (as well as interested voluntary organizations) will, however, continue to provide the supporting services which are beyond the resources of the local community and which are needed for local development. The government should also institute suitable measures to ensure that local development proceeds in consonance with national policies; but arbitrary interference by the civil servant should be avoided.

/III.

### III. MEANS FOUND EFFECTIVE IN IDENTIFYING LOCAL LEADERS

#### A. Ways of identifying traditional and new leaders

31. There are several ways to identify leaders but one should always be clear as to the purpose for which this is done. Leadership has different functions and, in order to meet the growing and varying needs of local communities, more than one leader may be found necessary, so as to deal with different situations. It is obvious that leadership exercised in a local council greatly differs from leadership that undertakes a clean up campaign in an urban setting.

32. It should be recognized that, within the rural communities and in urban neighbourhoods, the existing leaders are already known to the people. Certain individuals are already accepted and followed, as they display wisdom, education, initiative, personality, special skills and other leadership qualities.

33. According to the experience of the participants of the Workshop, there are two ways of identifying local leaders, namely the informal and the formal. The former is through general observation, as for instance at ceremonies, community meetings, festivities and other social events, during which some persons are seen to be the objects of special attention and respect. The number of those paying respect to a person at weddings or funerals and in times of sickness, etc. may help to indicate which families and groups hold influential positions within his community. One can also identify leaders by finding out to whom people go for advice and guidance, by engaging in conversation with local people and by making enquiries into the recent past history of the community. People who possess special skills and abilities, such as technicians, men of high education, etc., may also display qualities of good leadership under certain circumstances.

34. The formal ways to identify local leaders are the methods used in social surveys and studies, such as systematic observations, interviews and panel discussions. Participant observation is another method used in identifying leadership, whereby the observer attaches himself to the various groups in the community and participates in their activities. The natural leader is often discovered through this method. Such methods can be applied as part of a more comprehensive study, whereby one observes several aspects of community life, paying special attention to local institutions, such as village councils, co-operative societies, community centres, women's organizations, etc.



35. These formal methods should be applied by adequately trained personnel; hence universities and other research institutions can play an important role, but such methods should be suitably adapted for use by community development personnel.

36. On the assumption that leadership qualities can be brought out through participation in group activities, an important means of developing leaders is the organization of informal activities at village or urban community level. These may be related to the economic needs of the people, but equally may be of cultural, educational or recreational interest. The dynamic nature of leadership is such that an individual's latent leadership potential, brought out in response to a rather limited situation, may prove applicable to other and/or broader situations.

B. The choice of local leaders for use in community development and related programmes

37. The specific functions for which local leaders are to be chosen should be clear in the minds of those concerned. There is always a relationship between the skills or special abilities of a leader and the programme he is to implement. Technical programmes, such as a plan to construct a bridge, require skills in the particular field concerned in addition to general leadership qualities. Where such technical leadership is not locally available, an outside agency, such as the government, will have to provide the necessary technical personnel to work with the local leaders. A leader in a farmers' association would naturally be selected from among the farmers themselves. In the case of a co-operative society, a man of integrity and ability enjoying the confidence of the people can function as an effective leader. The possibility of the progression of leaders from specific to more general positions of leadership responsibility should also be taken into account.

38. In some countries of the region, local leaders are elected; in others, they are selected; it is important, however, that the people should first be prepared and consulted in almost all cases, some guidance and advice are necessary to assist the people in selecting good leaders. In some countries, people are given the choice of naming more than one leader from whom the most suitable is appointed by the government; in others the election of leaders by democratic methods is entirely left to the local community.

/39. The more

39. The more progressive persons possessing special skills and abilities are among the new leaders that tend to get elected or selected. Traditional leaders who owe their position to ownership of land, hereditary status, religious positions, etc. also continue to be selected or elected by people as their leaders. Traditional leaders who can adapt themselves to more progressive ways can become a strong source of local leadership, due to the fact they possess both experience and influence.

C. Harmonization of traditional and new leadership

40. The word harmonization has been used in this text to denote mutual accommodation of traditional and emergent leaders and the consequent reduction of the area of conflict so that both types of leaders may effectively serve local needs.

41. Traditional leaders, who in most countries of the region owe their position to land ownership, inherited status, or religious functions, are generally interested in maintaining the "status quo" and would normally resist changes likely to reduce their power or status. Emergent leaders are usually drawn from the newly educated and middle class sections of society and in some cases even from the under-privileged sections. They are generally more interested in bringing about change. However, not all traditional leaders are conservative. It is desirable to combine the experience of traditional leaders with the progressive outlook of the emergent leaders in the interest of local development.

42. The following were considered as effective methods of harmonizing traditional and new local leaders:

- (i) Social reforms introduced by governments. Some countries have introduced legislation to prevent absentee landlords from seeking election to village councils. In others, the insistence upon a minimum standard of education has restricted, if not altogether prevented, traditional leaders from gaining power in these councils. Many countries in the region have also introduced land reforms reducing the extent of holdings of land owners and thereby curtailing their power and influence.

/(ii) Resistance

- (ii) Resistance from traditional leaders is generally due to their failure to appreciate their role in a setting of rapid social change or to the sense of insecurity that follows social change. Training and educating traditional leaders to appreciate the need for and inevitability of change and to discover how they can fit in to the new society will also help considerably in overcoming their resistance and in increasing their usefulness in the community.
- (iii) The involvement of traditional and emergent leaders in programmes of common benefit to both groups. Their working together on such projects can lead to greater understanding and promotion of goodwill between the two types of leadership.
- (iv) Traditional leaders naturally do not like to lose their position, power and status. It may be possible to win them over by having them on honorary positions in local institutions, such as patrons and honorary chairmen of village councils, co-operatives, youth clubs, etc.
- (v) Government administrative and extension personnel can also perform a useful role as educators, mediators, and guides in bringing about a close understanding and co-operation between these two types of leaders.
- (vi) The problem in urban settings is of a different order, in that traditional bodies, institutions and leaders are often not appropriate to the conditions brought on by urbanization and industrialization. In some instances, a traditional form of neighbourhood association, is adapted to new conditions, in which case, local leaders, who may be prominent people or successful businessmen, may come forward to assume leadership. In other cases, particularly in new communities as in the resettlement estates of some urban areas of Asia, leadership arises in groups encouraged or organized by government or voluntary organization. In the latter instance leadership is likely to arise from ability as such, rather than from traditional characteristics.

/IV. EDUCATIONAL

#### IV. EDUCATIONAL OPPORTUNITIES TO HELP AND DEVELOP LOCAL LEADERSHIP

43. The introduction of suitable training programmes for local leaders is of great importance for the successful implementation of community development and related programmes. As these training programmes are meant for local leaders who do not generally possess very high standards of education, it is necessary to adopt simple techniques of instruction which will be readily understood. In view of the limited financial resources of most Asian countries, it is also necessary to introduce inexpensive and simple methods of instruction. As the training is for improvement of leadership skills, emphasis should be more on its practical aspects than on its highly theoretical ones. It should be continuous and flexible enough to meet changing needs.

44. The raising of the general standard and quality of education of the community will provide favourable conditions for the emergence of local leadership. Educational measures suitable for this purpose are:

- (a) Campaigns for universal literacy among adults
- (b) Universal and compulsory primary education for children of school age
- (c) Instruction in primary, secondary and teacher training institutions, to enable the pupils to understand the community they live in.
- (d) Introduction of community development as a subject of study in higher institutions of learning.

##### Training courses for local leaders

45. It was observed that most countries of the region had the following common features in their training programmes:

(1) Most courses contain an essential part covering information on (a) community development principles, philosophy and methods, (b) policies and programmes of national governments, and (c) local governments and their administration. This subject matter is considered as a desirable motivating factor for the trainees and as a means of raising their self-confidence, moral stature and sense of responsibility.

(2) Group techniques, discussion methods, and management of organizations are included in most training courses either as descriptive study or as a practical demonstration or as both. Methods of how to work with individuals and groups, how to organize groups, how to lead group discussions, how to conduct meetings, etc., are among the studies included in these training programmes.

(3) Job instruction is considered to be of vital importance for the training of local leaders, if they are going to play new roles in the development of their community. The job instruction should be specially tailored to the general and specific duties and functions of leaders to be trained.

46. The following curriculum for training of local leaders would give a useful indication of the fields to be covered. The content of training given below might be adopted with suitable modifications to suit the type of leaders to be trained, duration of training, skills required, etc.

A. Content of training for local leaders in rural areas

BACKGROUND INFORMATION

1. General

- (a) Understanding of community development
- (b) Understanding an individual's basic needs and the community he lives in
- (c) Role of the individual and the family in community life
- (d) National objectives and programmes of development

Note: The objective of this section is to widen the outlook of the trainees.

2. Elementary information on subject fields

- (a) Agriculture, animal husbandry, fishery, etc.
- (b) Cottage and small scale industry
- (c) Co-operatives, farmers' associations, etc.
- (d) Health and sanitation
- (e) Social welfare, family and child welfare, including mothercraft and family planning
- (f) Home economics, education and extension. (Home life improvement activities)
- (g) Adult education including literacy
- (h) Cultural and recreational activities
- (i) Local government.

Note: The objective of this section is to give the trainees some elementary knowledge of the technical services necessary for improving community life.

/PRACTICAL

## PRACTICAL SKILLS

1. Working with groups in the community
2. How to express ideas effectively
3. Organizing people into action groups
4. How to hold and lead meetings, including keeping records  
simple accounting and the use of audio-visual aids.

Note: While the above is intended for all trainees, special training as requested may be required in such fields as agriculture, poultry, animal husbandry, handicrafts, etc. Special courses may also be needed for such organizations as co-operative societies, farmers' associations, women and youth organizations, etc. The objective of this part of the programme is to give working experience to the trainees in democratic methods and to improve their skills in their own special subject fields. This working experience is intended to develop the trainees' attitudes for efficient work in the community.

It is difficult to distinguish between the content of training courses for traditional and new leaders. If traditional leaders are of the older age groups, as often happens, the content of the courses should deal more with informational subject matter and methods of working with people than with practical skills.

### B. Content of training for local leaders in urban areas

## BACKGROUND INFORMATION

### 1. General

- (a) Understanding of community development.
- (b) General information on social conditions of the city.
- (c) Existing services and resources in the area in which a community centre or project is situated
- (d) Aims and functions of community centres and projects.  
How they are financed and why certain services are provided, etc.

### 2. Elementary information on subject fields

- (a) Sanitation and health including maternal and child health and first-aid
- (b) Cultural and recreational activities.



- (d) Social welfare, family and child welfare, including homecrafts and mothercrafts.
- (e) Home economics, education and extension. (Home life improvement activities)
- (f) Vocational training and guidance.
- (g) Employment service.
- (h) Co-operatives including consumer and housing co-operatives.

#### PRACTICAL SKILLS

1. Working with individuals and groups in the community.
2. How to express ideas effectively.
3. Organizing people into action groups.
4. How to hold and lead meetings, including keeping records and simple accounting and the use of audio visual aids.
5. Co-ordination of the activities of other organizations and groups.

Note: While the above is intended for all trainees, special training as requested may be needed in fields such as cooking, sewing, carpentry, handicrafts, trade, etc. Special courses may also be needed for such organizations as women's associations, community centres, co-operatives, youth clubs, adult education centres, etc., and for working with local groups less interested in developmental activities.

#### Methods of Training (This applies to both rural and urban settings).

1. Seminars and workshops.
2. Lectures and discussions.
3. Visits and observations
4. Demonstrations and expositions.
5. Training camps.
6. Residential training centres.
7. Mobile teams.
8. Staff meetings and conferences.
9. Supervision and follow-up
10. Role play.

Note: Experience shows that the organization of a joint staff committee to plan and carry out a training programme is effective for training instructors as well as trainees.

#### Tools and equipment

1. Reading material.
2. Teaching equipment
3. Audio-visual aids, including special radio programmes.

#### Educational measures for instructors (selection and training)

47. Care should be taken in the selection of the right type of instructors for local leadership training. They should not only be conversant with community development methods and techniques but should also possess field experience and be fully conversant with the local language, conditions and problems. Several countries of the region are conducting special training courses for instructors.

#### Educational measures for other categories (Higher level community development personnel, civil servants, administrators and policy makers, subject matter specialists, etc.)

48. Generally the training of higher level community development personnel, and the orientation of civil servants, administrators, policy makers, and subject matter specialists take the form of seminars and orientation courses. The emphasis in these seminars and orientation courses is placed on the better understanding and greater support of community development policies and programmes and closer collaboration between various departments and institutions. Opportunities should also be given, especially to administrators and policy makers, to come into personal contact with the local communities and discuss their problems with them.

49. Several universities in Asian countries are conducting a professional course in community development; it was agreed that this should be further developed and encouraged.

#### Organizational measures for the training of local leaders

50. In the organization of training courses for local village leaders, two broad categories can be distinguished; one type of training is given at training centres, another one is provided at the village level. The centres are generally residential institutions, suitably equipped, where training courses can be conducted in a systematic and scientific manner, while maintaining the continuity of the training programme. Full-time staff are employed and personnel from other departments are also invited as instructors. In most cases the centres are

/located

located in a rural but accessible area; they should be equipped with furniture, cooking utensils, crockery, linen and other necessary articles, as trainees live at the centre and devote all their time to their courses. Travel allowances and training expenses are generally borne by the government. An advantage of this kind of training is that trainees are given the opportunity to observe new practices at government farms, co-operative societies, industrial institutes and rural development societies, as well as at the training institutions themselves. In some cases, a demonstration farm is connected to the centre so that the trainees can observe and undertake new activities in the field of agriculture and allied fields. Suitable modifications will however be necessary for training local leaders for urban settings.

51. One of the difficulties in persuading village leaders to undergo resident training is their reluctance to be away from their homes for long periods, so another type of training for local leaders is carried out at the village level. In most cases teams of training instructors go into the villages in order to give training on the spot. A definite advantage of this method is that the village leaders are approached in their own environment and their time is not wasted in travelling. Another advantage is that special attention can be given to the particular needs of the village or area.

52. In order to meet the rising needs for local leadership training, the universities and such institutions as schools for social work should be further employed as possible centres for the dissemination of knowledge. Off-campus training activities could very well be undertaken for special groups of rural and urban leaders.

#### Selection of trainees

53. As a general rule, the selection of trainees should be done by the people themselves. They might however be assisted in this by the community development personnel. The selection of trainees from both the traditional leaders and the emerging progressive type is to be encouraged. Consideration may also be given to the possible advantage of selecting at one time a group of leaders from the same locality so as to ensure identity of interest and mutual support.

#### Follow-up and evaluation of educational measures for local leaders

54. Any training course no matter how intensive or extensive, will not in itself be sufficient, since education is a continuous process. Follow-up of training programmes /is therefore

is therefore necessary. This may be done through in-service or on-the-job training, refresher courses, organised supervision, observation of projects or activities, demonstrations, etc. Another effective method is to make the trainees undertake actual projects by themselves, so as to practise whatever was taught during the training.

55. It may be said, however, that the competence of the instructor and the personal guidance he can render as an example or encouragement are the most important elements of any training programme for local leaders. During field work of the staff, special attention should be given to the more promising leaders. Later, provision should be made to give these persons extra training courses in order to make them more effective in their respective fields of activity. It is of utmost importance for the staff members of a training centre to keep contact with the trained personnel in the field, so as to see how they can strengthen them and assist them further in their activities.

#### Evaluation

56. The main purpose of evaluation is to determine how far the objectives of the training programme are being achieved and to make an overall assessment of its impact on local leaders. A system of reporting back to the training centre may be profitably maintained so as to ascertain which factors are responsible for the success or failure of the training programme.

57. The following methods and steps of evaluation are being practised in some countries

- (a) During the training, use of techniques such as self-analysis by the trainees themselves or analysis by other trainees and instructors so as to discover weak and strong points in the training process.
- (b) Analysis by the trainees of the effectiveness of the instructor.
- (c) At the end of the training, joint discussions between the trainees and staff members to determine shortcomings of the training programmes.
- (d) Finding out the reactions of trainees through the use of simple questionnaires or group discussions.
- (e) Assessment at the field level of the degree to which a training programme is contributing to community development activities.

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58. Some of the indices for evaluating the effectiveness of training could be: the extent of the practical contribution made by the trained leader to the betterment of his community; whether some tangible changes or income producing results have occurred in the community; whether more people have been mobilized and technical agencies further involved in the programme of development; whether more organizations and institutions have been developed; and whether any real foundation has been established for the self-perpetuating development of the community.

59. In this connection it will be useful to undertake small research projects to find out what types and methods of training are most effective. This research should always be practical.

/V. ORGANIZATIONAL

V. ORGANIZATIONAL ASPECTS OF INVOLVING AND SUPPORTING LOCAL LEADERSHIP  
IN COMMUNITY DEVELOPMENT AND RELATED PROGRAMMES

60. Though most countries in Asia are actively promoting the growth of local government institutions, these are still not sufficiently strong or equipped to take over from national governments full responsibilities for local development. Hence, most of these countries have adopted the principle of encouraging local communities to participate with the government in the planning, financing and implementation of local development projects as a necessary first step towards transferring these responsibilities to the people. While the state must necessarily assume final responsibility for the formulation of overall national development plans, it is necessary to encourage local planning and to integrate local plans with the broad objectives of the national policies and plans, if they are to have any real chance of success particularly from the viewpoint of the local community.

61. Progressive local leadership can play a very important role in involving local communities in development programmes. National governments need local support, not only in the formulation and implementation of these programmes but also in the form of community self-help efforts to supplement the limited resources available to these governments to meet the ever-growing needs of the people in an era of rapid economic and social change.

Ways and means of gaining the support of local leaders; strengthening of existing local government and other development institutions; promotion of new local institutions

62. Local leaders can arouse the interest and awareness of the people in local development, provide information and guidance, and mobilize local resources for development programmes. They can serve as a link between the people and the government and make the government aware of local needs and aspirations, as also of the resources which can be contributed by local effort and the extent of government aid and support required to supplement them. The government can, on the other hand, use local leaders to educate and motivate the people; to provide through them information, guidance and supervision so as to ensure that locally planned projects conform to desired targets and standards and that government aid is effectively utilized.

/63. These



63. These leaders should be given due recognition and support by the government. In some countries, successful lay leaders are awarded certificates and medals. It is doubtful whether progressive leadership, generally drawn from the educated middle classes, can be sustained over continuous periods purely on a voluntary basis. Unlike the leisured wealthy classes, these new leaders have to work for a living. It may often be desirable to compensate them for the time spent on voluntary work by the payment of a small honorarium, as is already being done in some countries.

64. The strengthening of existing local government and other development institutions and the establishment of new institutions are further means of promoting and sustaining local leadership. Such institutions provide further opportunities for the emergence of new progressive and enlightened leaders, who will in time be able to take a large share in their activities.

65. The promotion of primary and secondary education at the local level is of special significance for the emergence of progressive leadership and the growth of democratic local institutions. There has already been a large increase of local institutions in several of those countries of the region which have a high percentage of literacy. The promotion of new institutions such as co-operatives, credit institutions, village councils, women's associations, etc., also provide useful employment opportunities to the educated young people in the community and thus prevent their exodus to the cities.

66. Government support is considered essential for strengthening local institutions and promoting leadership. The progressive transfer of powers and responsibilities to local people so that they can manage their affairs themselves should receive the fullest support from national leaders, policy-makers and civil servants. Lack of clear official pronouncements and policy declarations on the subject or the failure to carry them out, once given, can lead to a sense of frustration among the people and to a weakening of local effort.

/67. There is

67. There is also a need for some changes of attitude on the part of the civil servants, who must be made more development-minded. They should assist and prepare local communities gradually to take over responsibilities for local development. Too much dependence, for too long, on government assistance will only tend to suppress the initiative and self-reliance of local communities and their leaders. While local institutions will continue to need government assistance and support in matters beyond the scope of local community resources, they should be progressively given the power and authority to manage their own affairs.

68. Local authorities should be given increasing powers to levy taxes. There is considerable untapped idle capital with local communities which can be profitably invested. Local authorities are in a better position, by virtue of their intimate knowledge of local conditions and people, to assess the true taxable capacity of local communities. Generally, such information is not available to the central government's revenue collectors; hence some countries of the region have already given certain taxation powers to the local authorities. Apart from the fact that this procedure enables local authorities to make use of hitherto idle capital for local development, it also contributes in no small measure to the growth of strong, healthy and independent local government institutions.

69. National governments can strengthen local government authorities and other local organizations by transferring other powers and functions to them. Some of the powers and functions transferred in a few countries of Asia are local administrative and judicial powers and educational and local policing functions. To what extent and precisely when these powers should be transferred will depend, of course, on the stage of development of local organizations and their capacity to discharge these responsibilities satisfactorily. The decision as to when to transfer them should be determined in consultation with the people themselves and not be left to the sole discretion of the authorities. Some countries are already following this procedure.

70. Local development has sometimes been retarded by the reluctance of farmers to utilize improved methods of cultivation when there is not much likelihood that they will enjoy the benefits of increased production, owing to the absence of suitable marketing and credit services and the consequent

dependence of the local cultivators on middlemen. As the latter are in a position to dictate prices, an increase in supply generally leads to a fall in prices, thus removing the incentives to improve. The promotion of suitable credit and marketing institutions through co-operative or private enterprise with adequate safeguards should help in overcoming this deficiency.

71. Some countries have adopted other methods for the development of local leadership. The promotion of small industries in rural areas not only provides useful employment and prevents exodus to the towns but also draws idle capital to productive investment. The establishment by the government or other agencies of large industries in rural and semi-rural areas and the creation of new towns in rural areas are other methods of accelerating local development. The decentralization of the administration also leads to further opportunities for the growth of local leadership. Support from national and international agencies, such as national associations of women and youth, co-operative federations, the Boy Scout Movement, to mention only a few, have contributed to the strengthening of local institutions and to the growth of local leadership in several countries of the region.

#### Support from higher echelons and other institutions

72. Local leaders are the elected or chosen representatives of the people and should accordingly be responsible to them. The people should exercise the right to determine whether a leader should be re-elected to office, taking into consideration his past performance. While periodic re-election is desirable from this viewpoint, the duration of their period of office should not either be too short or too long. It should be of sufficient length to permit leaders to develop plans and implement them.

73. The role of the community development worker should be to promote local leadership and thereby strengthen local institutions; but these agents of change are generally trained and appointed by the national governments, and are therefore responsible to them. They become more effective when they are placed under the control of local bodies, as is now being done in some countries; however, it is usually very difficult for the local authorities to find the necessary funds to pay their salaries, so sharing of the costs between central government and local

/authorities

authorities until such a time as the latter are in a position to meet these obligations themselves would seem to be the best solution. As the resources of local communities are limited, it might be desirable to begin decentralization at the higher provincial or district levels. Some countries are planning to give more powers and responsibilities to local government at the regional level through the formation of "regional councils".

74. Local institutions need technical support and guidance from higher level echelons. Generally, government technical personnel operate from the district or sub-district level and it is necessary for local leaders to be provided with opportunities to keep in regular contact with them. Some countries of the region have established statutory or ad hoc committees at the higher levels of the administration in which local leaders participate with the government authorities and various extension personnel in local planning and development.

75. In several countries, the promotion of more local institutions to meet the changing requirements of local communities has created the need for suitable machinery at the local level to co-ordinate their activities and thus prevent overlapping unhealthy rivalry and wastage of resources. Where strong local government institutions are functioning it may be possible for them to effect this co-ordination; co-ordinating committees representing the various institutions and interested groups in the community are another effective means of achieving this end. Co-ordination at the local level may not, however, succeed unless there is also effective co-ordination at the higher levels. Good co-ordination at the district and sub-district levels as well as the national level depends on the authority and personality of the civil servant and his own conviction as to the value of community development, as well as upon the co-ordinating mechanisms contrived by government. Excessive departmentalism has often retarded local development.

#### Evaluation of organization and methods in involving and supporting local leadership

76. The following criteria may be used for evaluating organization and methods in involving and supporting local leadership:

- (i) Ability of local leadership to help people identify their needs and to make the government and other external agencies aware of these needs;

/(ii) The degree

- (ii) The degree of initiative exercised by local leaders in planning and implementing local development projects and the extent of local contribution in money, labour, material, etc.; in relation to the local resources;
- (iii) The extent to which local leadership has stimulated and sustained local interest for development work and the number and effectiveness of new local organizations established for the purpose;
- (iv) The ability of local organizations to conduct their affairs on democratic lines and to make decisions according to the will of the people;
- (v) The responsiveness of local communities to new methods and practices and the extent to which there has been a change of attitudes and habits amongst them;
- (vi) The extent to which local leadership has succeeded in making the most effective use of external (national and international) assistance.
- (vii) The development of a sense of self-reliance and self-confidence to enable people to manage their own affairs without depending too much on external financial and material aid.

VI. INTERNATIONAL ASSISTANCE FOR FOSTERING LOCAL LEADERSHIP

77. The representatives of ECAFE, FAO, UNESCO, ILO and WHO, who participated in the Workshop, presented their respective statements, outlining at some length the technical assistance that the United Nations and its specialized agencies are able to provide for fostering local leadership and for promoting local development programmes. Statements were also made by representatives of the non-governmental organizations, namely, the International Co-operative Alliance and the World Veterans Federation, whose representatives attended this Workshop. Information was also given in regard to the types of assistance, material and otherwise, obtainable from UNICEF, which is taking an increasing interest in community development, especially in relation to family, child and youth welfare. The workshop noted with appreciation the contributions that are being made by the United Nations and the specialized agencies in their respective fields of competence as well as by the non-governmental organizations and expressed the hope that their activities will be expanded and intensified in their technical assistance programmes.

78. The following recommendations were made by the Workshop:

Training

a. That ECAFE be requested to include in its work programme the organization of a regional expert group consisting of outstanding community development administrators and qualified teachers at universities and schools of social work to study, evaluate and recommend curricula for professional education and training methods in community development. This expert group should be preceded by some national work groups in selected countries, whose findings should be made available to it. Some participants in the national work groups should be invited to take part in the regional group.

b. That this or some other expert group undertake to recommend workable schemes for training local leaders.

c. That ECAFE be requested to provide assistance to governments, upon request, in undertaking on-the-job training of supervisory staff in community development, both rural and urban.



#### Research and evaluation

- a. That ECAFE be requested to prepare a list of problem areas, indicating priorities, which could serve as a guide for agencies and organizations undertaking research in local leadership in community development.
- b. That ECAFE be requested to assist urban and rural community development research institutions in Asian countries by acting as liaison between them for the purpose of promoting regional research.
- c. That ECAFE be requested to assist requesting countries in conducting evaluations of their local leadership and community development programmes.

#### Publications

- a. That ECAFE be requested to increase their clearing house activities in order that member countries may be kept informed of the development and progress of community development including local leadership.
- b. That ECAFE be requested to prepare country monographs on local leadership and other aspects of community development.

#### Others

- a. That ECAFE be requested to assist governments in undertaking pilot projects for the development of local leadership and for demonstrating other aspects of urban and rural community development.

/Annex I

Annex I

LIST OF PARTICIPANTS

- Mr Mir Mohammad Ismail, Director-General, Community Development Training Centre, Gulzar, Rural Development Department, Kabul, Afghanistan
- Mr Yung-shih Huang, Deputy Director, Social Affairs Department, Ministry of Interior, Taipei, Taiwan, China
- Mr Hussein bin Isa, Assistant Training Officer, Division of Adult Education and Community Development, Ministry of Rural Development, Kuala Lumpur, Federation of Malaya
- Mr. Mohammad Achadi, Head, Directorate of Community Development, Department of Co-operatives, Djakarta, Indonesia
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- Mr Kardaja Karja Sumarto, Department of Social Affairs, Djakarta, Indonesia
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United Nations Educational, Scientific and Cultural Organization (UNESCO)	Mr T. Krishnamurthy, Adult Education Officer, UNESCO Regional Office for Education in Asia, UNESCO, Bangkok
	Prof. L.H. Palmier, Acting Director, UNESCO Research Centre for Social and Economic Development in Southern Asia, Delhi-6, India
World Health Organization (WHO)	Dr James B. Petrie, WHO Representative to Thailand, c/o Ministry of Public Health, Bangkok

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OTHER ORGANIZATIONS

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/SECRETARIAT

SECRETARIAT

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Miss Dorothy Moses	Chief, Social Affairs Division
Mr Hung-Chun Chang	Regional Adviser in Training for Community Development, Social Affairs Division
Mr S.T. Divers	Regional Adviser in Public Administration
Mr Homi B. Minocher-Homji	Community Development Officer, Social Affairs Division
Mr Geert Kalshoven	Associate Community Development Expert, Social Affairs Division
Mr Sukarto Tirtosudarmo	In-Service Trainee, ECAFE

UNBTAO experts

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Mr Kil-Byong Yoone	Director, Office of Rural Development, Kyonggi-Do, Kyonggi Provincial Government Building, Sejong Ro, Seoul, Korea
Mrs Salima Omer	Advisor, Planning and Evaluation, Basic Democracies, Ministry of Education and Information, 46 A Pak Secretariat, Karachi, Pakistan
Mr Luis B. Ladonga	Training Director, Presidential Assistant on Community Development, Office of the President of the Philippines, Manila, Philippines

"The Problem of Leadership and Change  
in Vietnamese Village"

- Michigan State University  
USOM  
IVS  
CARE  
Co-operative League of USA

"Local Administration for Social and  
Economic Development"

- Ernest M. Vergura  
for EROPA

"Urban Administration and Economic  
Development"

"Community Development - An  
introduction to Community  
Development for Village Worker"

- Agency for International  
Development

Note: Numerous additional documents and papers were presented to the Workshop by participants, being documents or papers published in respective countries. These were displayed at the Workshop for use as reference materials.

/Annex IV.

Annex IV

COMPOSITION OF WORK GROUPS

Work Group 'A'

Work Group 'B'

Group Chairman:

Mr Luis B. Ladonga -  
discussion leader

Mr P.H.P. de Silva -  
discussion leader

Group Vice-Chairman:

Mr Kil-Byong Yoone -  
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Mrs. Salima Omer -  
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Secretary:

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Mr Ram Bahadur Rawal

Prof. L.H. Palmier

Representatives:

Mr Hung-Chun Chang

Mr Homi B. Minocher-Homji

Group Members:

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2. Mr Hussein bin Isa
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4. Mr Souk Upravan
5. Mr Kasem Nakaratna
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7. Mr Shunkyo Nakajima
8. Mr Noel Platteuw
9. Mr T. Krishnamurthy
10. Miss Nita Soysa
11. Mr Zaker Hussain
12. Mr S.K. Saxena
13. Mr Ngadjijo Prodjobaskoro
14. Mrs Suparb Visessurakarn
15. Miss Dorothy Lee
16. Mr Philip M. Davenport

1. Mr Yung-shih Huang
2. Mr Kardaja Karja Sumarto
3. Mr Ram Bahadur Rawal
4. Mrs Somsri Kantamala
5. Mr Mohammad Achadi
6. Mr Mehdi Monsef
7. Mr John S. Fox
8. Dr James B. Petrie
9. Mr Rex de Costa
10. Mr Sudarto Tirtosudarmo
11. Mr William J. Klausner
12. Mr S.T. Divers
13. Mr Ruben Santos-Cuyugan
14. Miss Dorothy Moses
15. Mr F.N. Cragg
16. Mr J. Sheldon Turner



FOR PARTICIPANTS ONLY

CSLA/6

23 OCTOBER 1963

ORIGINAL: ENGLISH

UNITED NATIONS/EROPA SEMINAR ON  
CENTRAL SERVICES TO LOCAL AUTHORITIES

21 October - 6 November 1963

Paper on

Some problems facing Urban  
Corporations & Municipalities  
in India

By

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Maharashtra,  
Urban Development and Public  
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THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
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SOME PROBLEMS FACING URBAN CORPORATIONS & MUNICIPALITIES IN INDIA

The pattern of Local self Government administration that has been consciously evolved all over India, in the course of the last 150 years, was subjected to the vicissitudes of political, social and economic changes that the country has been rather rapidly. In fact, Local Self Government administration was treated as so many stepping stones on the way to democratic freedom and for training in self-government. The ancient village economy and political administration known as 'Panchayat Raj' was rooted in the old social order of hereditary professional services known as the 'bara balutedars' whose destiny was ruled by the then prevailing rigid caste system. That pattern however broke down slowly. Along with it also broke down the joint family system. The result was that to some extent 'give-and-take' service of the community was interrupted by economic and political forces which came to have power-play from time to time. The system of partially paid or enforced personal and community labour was continued for quite some time till recently and gave rise to a number of other evils of untouchability etc. No wonder, certain civic sanitary services assumed complicated economic and social forms. Mechanisation of the means of rendering these services therefore became an important instrument of social welfare and growing attention is now sought to be paid to mechanising these services so as to prevent degrading circumstances to appear to rule over the destinies of a large section of municipal labour required to discharge them.

/ This brings

2. This brings us to the question of collection and disposal of municipal refuse and proper means of doing so. A large number of town and city municipalities had tried to have drying fields to cure or dump the refuse and use it later on as manure. Subsidies are being given for this purpose as the compost manure is very valuable for agricultural production. Some of the important municipalities and municipal corporations are trying to prepare town gas out of it and chemical by-products of town gas are also being proposed to be segregated in cities like Bombay. Some of the municipalities like Poona feel it better to have machinery to reduce the town refuse into ashes and then utilise it for road making etc., while utilising part of the sewage as liquid manure. But on the whole, the task of timely collection and quick and cheap transport and disposal, including utilisation of town refuse, is one of the most important, and perhaps, the most onerous tasks that the municipalities have to shoulder. It has been noticed that whenever there is labour trouble, the scavengers present the most difficult problem to civic bodies and the cities' health and sanitation are constantly jeopardised particularly because the trade unions utilise these services as the lever to bring the city administration and the community to their knees. The question is whether we could so mechanise these services and take away the degradation involved that the preponderance of such labour force could be minimised. The principle of trade unionism and the right to strike having been conceded to labour in free democratic countries, there is need to ensure that our adherence to this principle does not make us helpless. One way to curb the

/monopoly

monopoly of such labour and such trade union practices is to give out scavenging and cleaning work in various broken up sections or wards on open contract basis and to insist on the contractors giving minimum wages and proper facilities and treatment to their employees under the Minimum Wages Act. However, other welfare schemes such as giving wheel barrows to prevent scavengers from carrying refuse on head or giving of long brooms and mechanised tools and vehicles so that refuse, sewage etc. could be taken in and taken out by cranes and pumps, are also such that can be adopted on larger scales than is done by municipal administrations.

3. Disposal of city sewage and refuse is also very closely linked up with the piped-water and drainage schemes of municipalities and towns. With the rapid growth of population which rises in India generally at the rate of 22 p.c. per decade, and which causes an influx in urban areas upto 40 to 50 p.c. per decade, the pressures that are generated almost make it impossible for any town or municipal administration to meet the requirements of water and to keep the drainage system from a breakdown. Provision of safe and adequate water supply to towns and cities has been very inadequately made on account of financial stringency and the difficulty of securing materials such as steel, cement, machinery etc. The result is that reliable potable water is still not available everywhere and the accepted standards of 50 to 100 gallons per head of population obtain nowhere even in the best run cities and towns. The problem gets worst confounded as the old wells and tanks etc. need to be closed down

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due to underground contamination from the open or covered latrines of congested cities. The difficulty of finding adequate supply of water, to keep underground or surface drains running also constitutes hazard of mosquito breeding and of other types of pests and infections.

4. Large amounts that are required by the city and town municipalities for this purpose therefore must be provided in ample measure by guarantees of the State Government or by international loans at cheap rates of interest and repayment instalments spread over a longer period of time. Unfortunately, the totality of Plan provision for such purposes is extremely inadequate and utilisation has been still slow. Technical staff, machinery as well as important materials such as steel, cement and so on are also scarce. The processes of land acquisition for such purposes have also been time-consuming. Something has to be done in order to see that top-most priorities are given to water-supply and drainage schemes for towns and cities and special financial arrangements are made for them, if necessary, in consultation with the International Monetary Fund or the Life Insurance Corporation of India. Normally, the returns from these schemes are more than adequate as they range anything from 10 to 15 p.c. of the investment and therefore there could be no difficulty for the State Government to give guarantees for the funds raised by corporations or municipalities for such ameliorative purposes. This problem gets more complicated on account of the anxiety of State and Central Governments as well as of all vested interests in the country to dun upon the meagre / resources



resources of water, drainage, roads at the city administrations disposal by vying with one another for industrial expansion as well as for large settlements of Government and their corporations. What should really be the rule is that where large industrial estates or extraordinary establishments of Government offices are planned and located the entire scheme, conceived as a neighbourhood township, should be self-sufficient for water, drainage, roads, schools, hospitals as well as sanitary and other services so that the normal administration of towns and cities is not called upon to handle problems beyond its economic or technical capacity. But everybody is in a hurry these days to produce magic industrial complexes for tourists to admire and capitalists to exploit at the cost, discomfort and despair of someone else, particularly the citizens and municipal administrations!

5. Another matter of concern is the influx of population in cities. Rapid urbanisation and industrialisation give rise to city slums and the unruly population they breed. Large chunks of undeveloped lands, mostly lowlying and in very unhealthy conditions, without any facilities of water, drainage or latrines, schools or gardens, come to be inhabited by labourers drawn from the village areas belonging to several heterodox communities and people speaking several dialects and languages. They lack civic education and have no enlightened leadership to guide or look after them. About 25 to 30 p.c. of the population of cities and towns are living in such slum conditions as urban housing has remained to be

/ tackled on



tackled on adequate level. Town planning schemes and development of the town limits and their peripheries have also been extremely ill-attended to in spite of the fact that it is now over 50 years that the town planning Acts have been passed in most States. In fact, the older Town Planning Acts did not make for fuller developmental ideals and sponsored no perspective plans. The revised Town Planning Acts in States provide for introduction of Development Schemes fully.

6. Therefore, there is a great need to pay attention to town and country planning measures and to subsidise municipalities to prepare town development plans and schemes. They should be given properly trained town planning engineers to see that the building laws, rules and regulations including regulations about ~~rikk~~ development, insanitary buildings, explosive and dangerous factories and trades etc. are properly controlled, zoned out and provided for so that healthy living conditions are secured for modern society. This involves not only a tremendous administrative task but a great deal of courage and foresight on the part of the municipal administration as well as on the part of the State and Central Government. In fact, it means passing a self-denying ordinance in that relaxation of building and town planning rules and taxation measures in respect of Governmental buildings, institutions, undertakings and corporations should never be claimed. In this task particularly the administrators of city municipalities who are declared as local authorities can, if they are

/sufficiently

sufficiently firm, play a noble and inspiring role. In order, however, to enable the municipalities and corporations to undertake proper development plans and town improvement schemes so as to liquidate slum conditions and build on modern, healthy and sound principles of town planning as well as community living, large amounts of money would have to be invested. Since normal rates and taxes are not enough only to provide for current civic services, additional resources must be indicated. State development plans will also have to be coordinated in all departments so as to facilitate growth of better and newer cities. One more way in which these towns and cities can be assisted is to enable them to freeze the prices of undeveloped lands within their limits and on the periphery of them to allow them to take a share or moiety of the unearned income that automatically accrues to every property holder as a result of the development schemes and plans and investments that the municipalities or the corporations undertake. This also means that courageous legislative measure to impose a development cess or tax on undeveloped plots and properties would have to be passed in favour of local bodies and improvement trusts so that the community as a whole grows richer and has better conditions of living and working to enable it to produce more for the good of all.

7. During the course of the last three Five Year Plans after Independence, Government's attentions was centered on the development of  
/ village

village communities and rural life and economy generally. This was natural as about 80 p.c. of the population lives in villages and was highly neglected and exploited under feudal and imperialistic patterns of Government over decades and centuries. Paucity of funds as well as administrative and technical personnel did not enable Government or even the Planning Commission to spare enough time and money to improve along with rural areas, urban living conditions fully, even after Independence. The total financial outlay and assistance for all purposes made available to town and city municipalities and corporations by the State during the last 15 years was on an adhoc basis and without even proper perspective development plan having been prepared for these towns and cities and corporations. This has been most unfortunate as rapid industrialisation and disorderly urbanisation have created complicated problems of neglected cities and slums. They tell upon the morale not only of the administrative and civic bodies, their services and elected membership, but also on the administration and politics of Government themselves. It would, therefore, be in the fitness of things now to redress the balance of past neglect of urban areas and to prepare proper perspective development plans for them and to allocate for their current services as well as developmental expenses adequate resources and funds. Industrial, civilisation as well as modern democratic ideals would be highly in danger if proper attention is not paid to our cities immediately.

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8. We have already begun to think of urban-rural relations as well as of town and country planning as matters of composite nature. While trying to foster production and education and social living standards in villages under a progressive system of democratic decentralisation, it would be wrong of us to allow our cities and towns to deteriorate under the impact of industrial congestion and the unseemly influx of surplus rural population. Time has, therefore, come to pay equal and urgent attention to urban as well as rural areas. You cannot develop an integrated free nation unless you develop the whole man and all his institutions!

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/Asn:

FOR PARTICIPANTS ONLY

CSLA/7  
10 October 1963

ORIGINAL: ENGLISH

ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST

In conjunction with the Eastern Regional Organization for  
Public Administration, and the Division for Public Administration  
Department of Economic and Social Affairs of the United Nations

Seminar on Central Services to Local Authorities  
21 October - 6 November 1963  
New Delhi, India

ASSOCIATIONS AND UNIONS OF LOCAL AUTHORITIES

Working Paper and Brochure

This paper and brochure have been contributed by the  
International Union of Local Authorities. They do not  
necessarily express the view of the United Nations.

COLLECTIVE LOCAL GOVERNMENT SERVICES IN THE DEVELOPING COUNTRIES

Working paper presented by the International Union  
of Local Authorities

In the study on "Central Services to Local Authorities", undertaken by the International Union of Local Authorities for the United Nations, two chapters are devoted to "Some Specific Institutions Rendering Services to Local Authorities", notably, national associations of local authorities and municipal credit banks. In the present paper, it is proposed to discuss the distinctive features of national associations in the developing countries, where they are a relative innovation, and their service function, particularly where this has hitherto been the exclusive domain of the central government.

Associations are usually strongest in those countries where cities have a long tradition of local autonomy, and act as defenders of time-honoured powers. To strengthen local administration and minimise the need to call on the central government for help in resolving problems beyond the scope of their individual means, local authorities try to help themselves through collective action.

In the developing countries, on the other hand, structures have to be built anew and, if the objects of decentralisation are to be attained, the fullest co-operation of citizens must be secured. Communities must have a hand in building new forms of local government, and their participation can be most effectively ensured through collective representation in the form of an association. National associations could also supplement the services of a central government whose own resources are strained by the urgent demands of national development, and even become the principal source of advice and technical aid to local authorities.

It is by no means our intention to understate the need for an organisation to bring to the central government's attention the most pressing needs of local government, particularly in those countries where the demands of development on limited resources make the allocation of priori-



ties the most difficult task of government. We shall, however, devote our attention specifically to the service functions of collective bodies.

What are the most urgent services an association of local authorities can offer its members in a developing country? In the IULA report "National Associations of Local Authorities" \*) the following are mentioned as occurring most frequently: 1) legal advice of a general nature; 2) advice on the drafting of by-laws and ordinances; 3) technical advice; 4) advice on filing systems, and 5) assistance with budgets and accounts.

Other services rendered are: help in personnel matters (e.g. wage negotiations, organisation and methods, and pension funds), training, collective municipal self-insurance, centralized purchasing, provision of office forms, central printing facilities and municipal banking.

It emerges from research into local government in the developing countries that the two most pressing needs are trained manpower and finance. Assistance with the drawing up and implementation of public works, although of less importance, is one field where developing communities usually have to rely heavily on central assistance and, here again, there is a good deal that national associations could do. This also holds good for legal advice.

#### 1. Training

Staffing is the most vital element of any programme of decentralization for development purposes, states the U.N. Technical Assistance Programme report "Decentralization for National and Local Development" which goes on to stress that the success of any scheme of structural organisation will depend, in the end, largely on the availability of qualified staff for sustained work in small towns and rural areas, the rapport between the staff and the people, the ability of staff members to work effectively together and the administrative, as well as technical, support and supervision they receive. \*\*)

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\*) Based on the IULA study "National Associations of Local Authorities throughout the World, their Organization and Activities", IULA, The Hague. 1956.

\*\*) "Decentralization for National and Local Development", United Nations, N.Y., 1962. p. 45.

The report cites the major problems which confront developing countries in their attempt to fill these requirements. They are likely to suffer from critical shortages in the number of personnel both technically competent and able to work effectively with rural people, or willing to sacrifice the prestige and amenities of the capital for work in the country. While there may also be a lack of community leaders capable of guiding and supervising the local administration, it is difficult to escape the traditional paternalism, or authoritarian relationship, between servants of the central government and the local population.

According to the report, in almost every country, public administration programmes are in existence for the training of civil servants. In a number of countries in Africa and in some in Asia, the ministry or department responsible for local government affairs administers specialised training schools and, through local government inspectors, auditors and financial and administrative officers, provides on-the-spot training for local government staff. \*)

The report points out that in some countries, such as Brazil, Japan and the United States, there are autonomous local government training institutions, which not only provide training for staff, but also conduct research and render services to local authorities, similar to those performed by ministries of local government elsewhere. We also refer to the Institutes of Local Self-Government in Bombay. \*\*)

In the majority of cases, however, the training needs of the central administration are so urgent that little of the benefit of the existing central programmes filters through to local government personnel. Furthermore, training if offered to local government officials, is not normally extended to elected officers, whose task it is to guide and control the administration.

Training for local government, to be effective, is best organised on a regional basis, and local authorities, who often have to vie with the central government for the services of qualified officials, must seek to "grow their own timber".

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\*) Ibid p. 75.

\*\*) See "National Associations of Local Authorities", Annex I "The Local Self-Government Institute, Bombay State, and The All-India Institute of Local Self-Government".

In view of these circumstances, it would seem appropriate that local authorities take upon themselves at least part of the burden of in-service training, for which the financial support of the central government will probably be necessary in most cases. In several countries, national associations are the acknowledged authority in the field of local administration training, on the grounds that they are best qualified to give a community-oriented outlook. They are also in the best position to determine the professional qualifications for admission to local government service.

## 2. Finance

In some of the developed countries, a perennial task of national associations of local authorities is the struggle to obtain a larger share of the State revenue. Communities in the emerging nations are finding it particularly difficult to obtain a satisfactory proportion of the overstrained resources of a developing economy. It is therefore particularly important that those citizens who are remote from the capital can, through collective representation, have a say in the evaluation of competing priorities.

The assistance of national associations in obtaining funds for urban or rural communities is, however, not restricted to lobbying. The first step towards obtaining grants is the presentation of a sound case. While budgeting procedures are usually prescribed by the central authorities, the financial advisers of an association can aid their members by helping to work out the economics of a project and drafting the proposal in such a manner as to enhance its chances of acceptance.

Taxation is a universal difficulty in the transitional nations. While indirect taxation, because of the relative ease of its collection at the centre, is often over-developed, sources of direct taxation are neglected; these could be tapped by local authorities motivated by a genuine desire to improve the community. A national association could not only advise the central government regarding the most suitable type of taxation to be levied at the local level, but also be of assistance to local authorities in introducing effective methods of tax-collection.

One of the most common objections to rapid decentralisation is that it makes the control of administration, and specifically in relation to finance, even more difficult. Certain national associations

have taken upon themselves the responsibility for auditing municipal accounts and, in doing so, controlling procedures. Although central government control cannot be dispensed with, it is desirable to free local administration as far as possible from the cumbersome State control regulations that often inhibit the rate of progress. The collective organisations could, therefore, help to design control procedures specially suited to local government and supplement the central government's supervisory rôle. This should result in greater efficiency, and foster a feeling of financial responsibility among communal leaders and officers.

Finally, there is the problem of financing municipal projects. Funds for development are at a premium everywhere, and local governments in some developed countries have found it necessary to establish municipal credit banks. Although the normal experience is that the central government has to provide the bulk of the capital of such an institution (in whose capital local and other public authorities may participate), the State finds it useful to have a separate body, run on business-like lines, to offer credit facilities to local authorities.

### 3. Technical advice

In all countries, it is only the larger city that can afford to maintain a fully-fledged engineering staff, capable of drafting and implementing large-scale public works or urban renewal schemes without outside help; most municipalities have to make use of the facilities of the central government, or engage the services of consulting engineers. Several national associations are so organised as to offer technical advice of a general nature, while some have either set up, or have some kind of working relationship with, an independent firm in order to provide engineering services to local authorities.

Moreover, collective local government centres can be formed for the specific purpose of purchasing and maintaining road building and construction equipment, as in Thailand\*), or providing a maintenance service for public works, as in Ghana \*\*) (the so-called Work Organi-

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\*) "Local Government in the Twentieth Century", IULA, The Hague. 1963. p. 379.

\*\*) "The Tasks of Local Authorities in Development Areas", IULA, The Hague. 1961. p. 32.

zations). In those countries where the construction industry forms part of the public sector, municipal contracting could well be entrusted to co-operatives created for the purpose.

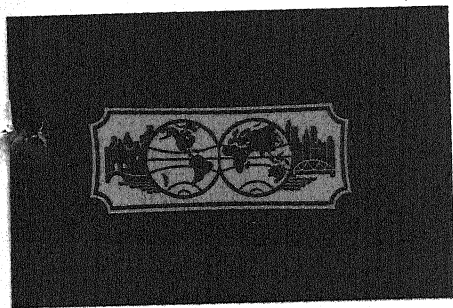
#### 4. Legal advice

Legal advice, as already stated, is the most commonly offered service of municipal associations throughout the world. While it may not be the most urgent task, its value to local authorities in developing countries should not be under-estimated, particularly where local government is a new institution. Smaller municipalities cannot have proper legal counsel, and need guidance in the formulation of by-laws and ordinances, or in drafting statutes for new municipal bodies. Associations can also help communities to a full understanding of their rights, as well as prevent an overstepping of the powers delegated to them.

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A word should be said about the financing of national organisations of local authorities. The older associations have found that, if they are to be completely independent of the central government, they cannot expect to be subsidized but must rely instead on their members' support in the form of subscription and fees.

Whether this is possible in developing countries is questionable; whether it is, in fact, necessary is a moot point. There can be no serious objection to financial support by the central authorities, on the premise that an association can be an effective instrument of the functional decentralisation of central services to local government, which can help to obtain greater efficiency and hasten the process of administrative decentralisation.



NATIONAL ASSOCIATIONS  
OF LOCAL AUTHORITIES





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International Union of Local Authorities  
5 Paleisstraat, The Hague, Netherlands  
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## C O N T E N T S

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## FOREWORD

This report on national associations of local authorities is part of a study, as yet unpublished, on "Central Services to Local Authorities", which has been written on behalf of IULA for the United Nations, by Dr. W. Hoven and Mrs. A. van den Elshout-Adama van Scheltema, M. L. L. This study was finished in the summer of 1962 and submitted to the United Nations in the October of that year. Part III, entitled "Some Specific Institutions Rendering Services to Local Authorities", contained a chapter on national associations of local authorities and one on local credit banks, written by the Secretary-General of IULA and of the International Information Centre for Local Credit respectively. IULA is much indebted to the United Nations for the authorization to publish these two chapters. The report on local credit banks was published by IULA in March, 1963. (Special Series No. 3)

The present report is partly based on a book published by IULA in 1956 and entitled "National Associations of Local Authorities Throughout the World". It also includes all the information on the subject which IULA has since received. In the winter of 1962/63, the report was sent to all national associations appearing in it, with the request to verify the passages concerning their organization. Most of the associations complied with this request and we are very much obliged to them for their kind co-operation.

We are equally indebted to Shri Chunilal D. Barfivala, Director General of the Local Self-Government Institute, Bombay State and the All-India Institute of Local Self-Government, Bombay, who sent us the exposé on these Institutes, which have recently been combined. The Indian Institutes are a good illustration of how bodies can render the same sort of services to local governments and their staff without necessarily being an association of local authorities. This exposé is included as Annex I.

Annex II gives a very brief outline of the structure and activities of IULA. For more detailed information on IULA,

its history, organization and activities, we may refer to the brochure "IULA 1913 - 1963, Fifty Years of International Intermunicipal Co-operation", written by the author of this foreword and published on the occasion of the Golden Jubilee Congress, held in Brussels in June 1963. Several passages of this brochure deal with the various national associations of local authorities which, together with individual cities, form the main membership of IULA. However, these references to national associations are still a long way from presenting a complete picture of these institutions, a reason why we wish to end this foreword by quoting a passage of the preface to "IULA 1913 - 1963", written by Mr. A. Spinoy, President of IULA:

"I should like to conclude this preface by expressing two wishes. The first, which has been suggested by the author of this book, but which she herself has not been able to carry out owing to the lack of time and resources, is that a complete history be made of the national associations of local authorities in all the member countries of the IULA where they exist. For these associations really constitute the foundation of the IULA without which it would lose much of its strength. The history of these associations would be a fitting conclusion to this work which I now have the honour to introduce."

We support wholeheartedly the wishes of IULA's President.

INTERNATIONAL UNION  
OF LOCAL AUTHORITIES

H. J. D. Revers  
Secretary-General

## NATIONAL ASSOCIATIONS OF LOCAL AUTHORITIES

### 1. Introductory remarks

It would seem fitting to include in a study on central government services to local authorities, 1), a chapter dealing with some specific institutions that render services to local authorities. Reference is frequently made in this study to such institutions, which give help and assistance to the local authorities in a given country from a central point, without actually being - and often deliberately so - central government agencies.

The first institution to be mentioned in this part of the study is that of national associations of local authorities. Not only because these associations are to be found in many countries and often render most important services to the affiliated local authorities, but also in view of the fact that their significance for the strengthening and development of local government has still another aspect, which makes them of outstanding importance. A strong and well-functioning national association of local authorities can not only render valuable services to its members, but also strengthen the position of local governments in the country concerned by the mere fact that it is an organization of the local units themselves which performs these activities. It is clear that this makes the local authorities less dependent on the central government than when they need to apply for these services to the central government. At the same time, it gives them a sense of responsibility, and a common interest with other authorities, which they would not have without such an organization of their own.

The International Union of Local Authorities published, in 1956, a book on national associations of local authorities, containing reports of 64 of such associations (all based on a questionnaire sent to them by the IULA) together with an analytical survey of 57 of these reports. 2) A list of all na-

1) See the Foreword to this Report.

2) "National Associations of Local Authorities Throughout the World", International Union of Local Authorities, The Hague, 1956, 339 p.



tional associations, the names and addresses of which were known to the IULA headquarters at that time, is added. It shows that, in 1956, between 70 and 80 of such associations were known at this central point of local government associations. Some new associations came to the knowledge of IULA by the middle of 1962. 1)

Although the above mentioned IULA publication is slightly out of date and does not contain reports on all associations in existence at that time as some associations did not answer the questionnaire, it gives a wealth of information and most of what follows has been borrowed from that source. New information received by IULA, which is continually in contact with many associations, after the publication of the above mentioned report, is included in the following paragraphs, in particular those on the new associations referred to above.

On this basis, an outline will be given, in this Report, of the most striking features of the subject, as regards the structure of existing national associations (par. 2) and their main activities (par. 3). It did not seem possible or desirable to treat the subject in too great detail or too exhaustively. The IULA secretariat at The Hague is always willing to give more detailed information and assistance to those who might require it; a reference can always be made to the Associations direct.

Finally, a short survey will be given of the aims and activities and the history of the International Union of Local

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1) These associations are:

1. The National Municipal League of Thailand (established in 1959).
2. The Iran Municipal Association (established in 1956, reorganized in 1961).
3. The Association of Municipal Councils in Ghana (year of establishment not known).
4. The National Association of Local Authorities, Ghana (established in 1959).
5. The Western Nigeria Union of Local Authorities, Ibadan (established in 1957).
6. The Local Government Association Eastern Nigeria, Aba (year of establishment not known).
7. The Association of Urban Authorities, Mauritius, Port Louis (established in 1960).

Authorities (The Hague). (See Annex II). 1)

It does not seem possible to state a direct and clear correlation between the services rendered to local authorities by central government agencies, and those rendered by local government associations. For it cannot be said that where central government agencies perform these tasks, associations do not - or vice versa - or that, in the course of history, associations have taken over these functions from central government agencies. However, a direct connection with the tasks and legal powers of local authorities themselves can be indicated. Associations of local authorities owed their existence, for the most part, to the desire for practical co-operation and an exchange of experience, on the one hand, and to the need for the promotion, representation and protection of municipal interests vis-à-vis higher public authorities, on the other, emphasis usually being placed on one of these two reasons. For all this, a certain strength in local government would seem indispensable. It can indeed be stated that in countries with a more decentralized system of government and strong local government, the existing associations are of greater importance and render more services to their members than in countries with a centralized system of government, which is logical when one realizes that the member local authorities together form their association and give to it its character, but could be termed illogical, and indeed regrettable, when one considers that in the latter countries - wherever they are situated - local authorities need to receive more assistance.

It should be borne in mind, however, that most of the national associations in existence (about which particulars are given on the following pages) were established some 40 to 70 years ago and that the situation with regard to newly established associations, which are mostly situated in non-European countries, may be different. From a table, included in the above mentioned IULA publication, giving data

- 1) Another international union of national associations is the Interamerican Municipal Organization, which has its headquarters in San Juan, Puerto Rico, and an office in Washington, D. C. Unfortunately, the information on the I. M. O. did not arrive in time for publication in this Report.

on the establishment of 64 associations existing in 1955, the following facts appear. In the European countries, most national associations were established between 1890 and 1925. (Six associations were founded outside Europe in this period; in Australia (Victoria), New Zealand, Japan and the United States of America). From 1925 onwards, the great majority of new organizations have been established outside Europe in North, Central, and South America and the Caribbean, Asia, Africa, the Middle East and Australia. Finally, as can be seen above (footnote on page 2), since 1955, two associations have been founded in Asia (Thailand and Iran) and five in African countries (Ghana (2), Western Nigeria, Eastern Nigeria and Mauritius). It is not inconceivable that it will be possible, particularly in the new states, to state a direct correlation between the services rendered to local authorities by central government agencies and those rendered by the new local government associations.

A final point to be dealt with in these introductory remarks concerns the relation between national associations of local authorities and the central government, and, in particular, the possible influence of the latter on these associations. As appears from what is said in the paragraph on activities in the field of "the representation and promotion of municipal interests vis-à-vis higher public authorities", the central government in many countries asks the association's advice on matters of legislation, administration, etc., and this tends to create a good relationship between the two. With the passage of time, this relationship often underwent changes, for while many national associations began activities of this nature by making representations to the government disputing various issues, later, the government actually came to them to ask for their opinion. (See page 31).

As regards the influence of the central government, the great majority of the existing associations (at least those whose reports are included in the IULA publication) seem to be free of such influence, even those who receive some financial assistance. (See page 12). It seems, however, that there is an ever present risk that central government financial assistance, particularly if it represents a large part of the association's budget, will entail a certain amount of supervision from the central government. This, in its turn, may weaken the confidence of member local authorities in

the competence of their organization as the joint advocate and promotor of their interests; and this confidence is essential for the satisfactory functioning of the association.

In these matters, too, it would be understandable if the situation were different in newly established associations, which have not yet the long experience which can lead to such a relationship with the central government as described above (or whose activities are mainly in the field of practical co-operation and exchange of experience). In the case of these associations, particularly those in new states, a certain degree of help and supervision from the government may be considered to be the best solution. An example of such a situation is to be found in the constitution of the Iran Municipal Association (established in 1956, and reorganized in 1961), which not only requires the approval of the Minister of the Interior in several cases (the annual budget and the programme of the association, the fixing of the tariff of the membership fee 1)) but also provides for a "Board of Directors" of three members, from which two are appointed by the Minister of the Interior from among officials of the Ministry of the Interior or other government agencies, while the third, an "Executive Director", is appointed by the Minister.

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## 2. Organization and Structure of National Associations

The great majority of national associations of local authorities, if we interpret this term in its strictest sense, for there are also in existence national sections of interna-

- 1) In most countries where the local budget has to be approved by a supervising body, the payment of a membership fee by local authorities to their associations, is approved without any difficulty. In Great Britain, an Act of Parliament has specifically empowered local authorities to "pay reasonable subscriptions to national Associations" without Ministerial approval.

tional associations 1), have the same sort of structure in so far as they are corporate bodies, set up in accordance with the pertinent legislation of their country, with a general assembly and one or more other organs, as laid down in their constitution or rules. Some associations are not corporate bodies but consist mainly in an annual meeting of the affiliated local governments as in Ceylon. Such a situation occurs mainly in respect of recently created associations. A number of the older associations began their existence in the form of regular congresses, with or without a permanent committee as, for instance in Austria. There is, besides, a great variety of detail in the structure and organization of the various associations.

a. Categories of local government members

There are, first of all, differences between the associations of local authorities in so far as their membership is concerned. This is evident when one realizes how differently local government itself is regulated in the various countries.

In the first place, some countries have different categories of local authorities while others have one category only. In the latter countries there is usually a single association which offers membership to all local authorities. In those countries where there are different types of local authorities there is usually an association for each separate type and the most frequent division is that between towns and rural local authorities. Some associations, however, comprise different categories of local authorities. Some examples of such associations will be given below, under the heading "Representation of members in the various organs".

- 1) These national sections are to be found in countries where more than one association, affiliated to an international union, is in existence, like Great Britain, Denmark, Germany. To the British section of IULA are affiliated not only the associations of local authorities but also a number of individual local authorities, together with the National and Local Government Officers' Association ("Nalگو") and Societies interested in local government such as the Town Planning Institute, the Royal Institute of Public Administration, etc.

There is quite often a close co-operation between the various associations existing in one country. An outstanding example of this is to be found in Norway, where, since World War II, the two associations (one of towns and one of rural local authorities, which, in its turn, comprises rural districts and county councils) have had a joint office, headed by one Director, although each has its own executive committee and finances. Another remarkable example of co-operation is to be found in Japan, where 6 national associations (prefectural governors, chairmen of prefectural assemblies, city mayors, chairmen of city assemblies, towns and village mayors, chairmen of towns and village assemblies), together with the Tokyo Institute of Municipal Research, set up the Japan Local Self-Government Institute in 1951, which serves as a central co-ordinating office for the national associations. In many other countries the co-operation between the various associations is more incidental.

As can be seen from the above list of associations existing in Japan, some associations are composed, not of local authorities but of mayors or chairmen of local councils. However, this system is rather exceptional. Several associations which, by their name, give the impression of being associations of mayors or of mayors and local authorities, are in actual fact associations of local authorities (e.g. the "United States Conference of Mayors", whose members are municipalities of over 50,000 in population (with some exceptions) or the "Canadian Federation of Mayors and Municipalities", to which any municipal government corporation can affiliate).

In some countries with a federal structure, there exists an association which is itself a federation of national state associations. Examples of this kind of association are to be found in the United States of America (the American Municipal Association, which comprises the State leagues of municipalities as well as individual member cities). Mexico (the National Confederation of Municipal Governors of the Mexican Republic, to which also the State federation of municipalities and individual municipalities are affiliated), Canada (the Canadian Federation of Mayors and Municipalities also includes in its membership the Provincial Associations of municipal governments) and Australia (the Australian Council of Local Government Associations, which seems to limit



its activities strictly to fostering the common interests of the local government association(s) of the various States, when called upon to do so).

In the great majority of associations, membership is not obligatory. Whereas some of the associations, reported on in the above mentioned IULA publication, did not answer the question as to whether membership was obligatory, only two answered this question in the affirmative: the Dominican Municipal League, created by law in 1938, which comprises all municipalities and other local authorities of the country, and the Association of County Councils in Trinidad and Tobago (British West Indies), created in its present form in 1952.

In spite of this non-obligatory character of almost all associations, many of them comprise all or a great percentage of the local authorities eligible for membership. Of the 57 reports analyzed in the IULA publication, 24 mentioned that all of the local authorities eligible for membership were in fact members, 6 others said that all but one were members while most others stated that a very large majority were affiliated. 1) This also seems to be the situation with regard to the newly created associations.

b. Organs. Composition and manner of selection. Representation of member local authorities in the various organs

The variety in the various organs as such is not very great: a general assembly or council, representing all members, and an executive committee or managing board (often composed of a small "executive" plus a certain number of "officers") are to be found in almost all these associations. About 50% of them have another body between the general assembly of members and the executive committee: a "main committee", which is bigger than the executive and is generally composed of between 16 and 45 or even more members. These intermediate committees are sometimes representative of geographical regions. Usually they are charged with some tasks normally assigned to the general assembly, such as the approval of the association's budget. Some asso-

1) For figures relating to the percentage of the population represented by these 57 associations, see the IULA publication, p. 20-21.

ciations, while having a general assembly-executive structure, have an executive of an extraordinarily great size: the Council of State Governments of the United States has a "Board of Managers" of 76 members, and the French Association of Mayors has a committee membership of 56.

In some countries the pattern of a general assembly (other than, for example, an annual meeting), and an executive body is not known. Two important associations in Great Britain (the Association of Municipal Corporations, founded in 1873, and the County Councils Association, founded in 1889) have a Council, representing all members (in the case of the County Councils Association composed of delegates of all members) and a number of standing committees, dealing with the more important subjects and reporting to the Council (according to the rules, the Council conducts the business of the association, but may delegate its powers to committees). Of these standing committees, one is more particularly occupied with the association's activities and policy. The Association of Municipal Corporations has a "General Purposes Committee", whose chairman is virtually the leader of the Association. The policy of the County Councils Association is decided by each committee in relation to its separate interest, e. g., planning, highways, education, etc. This system is obviously based on the system of local government in England, which does not know a specific executive organ. In general, however, it is the smaller associations which do not have a "general assembly" and an "executive committee" vested with specific powers.

Where there is an executive committee, it is usually elected by the general assembly or council. In those cases where there is a "main committee" between the general assembly and the executive, the executive may be elected by this main committee. This latter committee itself, which may or may not include the members of the executive committee, is sometimes composed of delegates of regional branches of the associations.

Practically all associations have an annual conference, open to all members, where matters of general policy are discussed, and which is the occasion on which officers are

appointed. 1) From two associations in Ceylon (the Association of Urban Councils of Ceylon, founded in 1932, and the All-Ceylon Town Councils Association, created in 1948), the latter's report speaks only of an Annual Conference, attended by all members, while the report of the former mentions an Annual Conference where the office-holders of the association are chosen from among the members. These office-holders are: a President, an Honorary Secretary and Treasurer, and an Honorary Editor and Publisher of the Association's Gazette; they are ex-officio members of the Executive Committee, together with 9 other members, elected at the Annual Conference.

The All-India Federation of Local Authorities (founded in 1942), reports that the members of the executive committee (consisting of a general secretary, two joint secretaries, a treasurer and not less than two members from each state) are appointed by the President, who, in his turn, is elected by the Conference of all local authorities in the country, held once every three years.

#### c. Methods of representation

The method of representation of the members in the various organs varies greatly from one association to another.

When an association comprises different categories of local authorities or local authorities of different sizes, its constitution often prescribes a proportional representation of these different categories or of large and small local authorities in the executive or governing committee. Even in cases where such a rule is not laid down in the association's constitution, it is often followed in practice, in order

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- 1) The National Association of Parish Councils in Great Britain reports that apart from its annual meetings, it organizes a large national conference every three years. These conferences have no formal constitution whatever and any parish councillor or clerk willing to pay the fee may attend, whether or not his council is a member of the Association, and anyone may submit a resolution. Their conclusions, of course, are not binding on the Association but they are an invaluable method of sounding opinion, and their views are invariably treated with respect.

to guarantee the best possible representation of the members on the executive board.

With regard to the composition of the general assembly or council, there are many variations to be found here also. Here, too, one of the main problems is that of achieving an adequate representation of the members. This question is solved in the simplest way when every member can be represented directly at the general assembly. The problem is obviously more difficult for the bigger associations, with many hundreds of members, and for those associations with different categories of affiliated members.

The system of a general assembly, where all affiliated members can send one or more delegates, is found in the majority of cases. The voting system may give one vote per local authority or a varying number of votes depending on the size of the population represented.

Some associations with a large number of member authorities have divided membership into districts and the district representatives convene in the general assembly. This is the case with the National Association of Parish Councils in Great Britain, for example, which has a membership of nearly 6,000 parish councils and parish meetings. In every English and Welsh county there is a County Association (and in some counties there are also district associations) and every County Association is represented by three members in the National Association's annual meeting.

Another example of a general assembly not comprising delegates of all members is also to be found in Great Britain, in the Association of Municipal Corporations, cited above (page 9 ). Although its members are all "municipal boroughs", they belong to different categories, including county boroughs (83), non-county boroughs (315), metropolitan boroughs (14 out of the 28 boroughs of greater London and the City of London) and a number of municipal corporations from Northern Ireland. The Association's Council is composed of a fixed number of representatives of each category of members.

Another system is found in the Norwegian Association of Rural Local Authorities (Norges Herredsforbund), which is composed of between 600 and 700 rural districts and 16 counties (the counties each comprising a number of rural dis-

tricts). 1) Here the representation of the two categories of members is regulated in a different way, with the result that all the counties but not all the rural districts are directly represented.

#### d. Finances

The great majority of the associations are financed for the most part from members' contributions. Some of them derive revenue from the journal of the association (usually from advertisements), and some ask special payment for certain services.

Only six out of the 57 associations, whose reports were analysed in the IULA publication, reported that they received funds from governmental authorities other than their members. Three of them received certain amounts from some central government ministries, two others received annual grants from some departmental or provincial governments. The reports give the impression that by far the main income of these associations is derived from the members' contributions, except in the case of the Dominican League, which reports on "allowances given by the State from the funds destined for municipal subsidies". Another situation is to be found in the Association of County Councils in Trinidad and Tobago, where the financial contribution of the Central Government plays an important rôle. This Association does not have a membership fee and the Association's work is financed by the Central Government on the one hand and directly by the constituent councils (which pay certain expenses) on the other. Whereas the five first mentioned associations stressed that, notwithstanding the grants received by them, they are fully independent bodies, free of any central or provincial government influence, the association of Trinidad and Tobago reported some central government influence, in as much as the government "controls the financial side".

In some cases, the association's secretariat is accommodated in the building of a Ministry. If this accommodation is provided without payment, this can also be considered as a form of governmental assistance.

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- 1) On 1st January, 1963, the Norwegian Association of Rural Local Authorities comprised 647 rural districts and 18 counties.

As regards the membership fees, the great majority of associations have a system of fixing the fee due by members according to the size of the population. Often the subscription is fixed in accordance with a scale dividing the members into groups based on population; in some cases the subscription fee per inhabitant increases gradually through this scale, in other cases there is a diminishing rate, especially for the largest towns. Some associations, comprising different types of local authorities, have different scales for the various groups of members.

Other methods of fixing the membership fees, which are, however, rather exceptional, are the levying of a percentage of the budget of the member or a pre-determined fraction of the association's budget.

More often a system whereby the subscription is based on the tax assessment is used. This has, according to the authors of the reports concerned, the advantage of rendering the association independent of changes in monetary value. Some associations ask a fixed amount per member. In three cases the association reports analyzed in the IULA publication, mentioned that they had no income whatsoever, since their expenses were very small and were often met by one of the local authorities belonging to the association.

In this connection, it is interesting to note that in several organizations certain members provide accommodation or extra funds to aid the association's headquarters in addition to the regular membership fees. For example, the city of Vienna provides office accommodation for the headquarters of the Union of Austrian Towns. Another form of aid is given by individual members if an officer of the association maintains the association's secretariat at the same time as he fills his regular position in the local administration. The Union of Swiss Towns receives an agreed special contribution from the city of Zürich, where the association has its headquarters.

For newly established associations, it may be difficult to fix an adequate subscription fee. This may have been the reason for a provision in the constitution of the Iran Municipal Association (which was established in 1956 and whose constitution was revised in 1961) whereby the membership fee was to be paid "according to a tariff which will be proposed by the Executive Director, affirmed by the Board of



Directors and afterwards approved by the Minister of the Interior".

Apart from their annual subscription fee, members may be charged an extra payment for all or for certain services received from their association. It is not possible to form a complete picture of this matter, which is, none the less, of great importance. To judge from the reports included in the IULA publication, of which more than 50% reported that they did not require their members to pay for services and many others did not answer this question, it may be assumed that the great majority do not require any payment. Five of these associations stated that their members must pay for certain services, which are usually such specific services as book-keeping and auditing. The Swedish Association of Rural Municipalities, which specifies that its members must pay for the auditing of their accounts, adds that, when all members avail themselves of this service, the cost will then be included in the regular membership fee. Another system is followed by the Union of Netherlands Municipalities, which has a special Bureau for the auditing of local authorities' accounts, which serves almost all members of the Union, but whose services are paid for by individual local authorities according to the amount of work involved.

It is not, therefore, possible to distinguish a general principal as regards the system of payment for specific services. On the one hand, the line of thought of the Swedish Association seems acceptable: when all members avail themselves of the service in question, it seems logical that the costs of this service should be included in the ordinary budget of the organization, especially as the membership fee is usually based on the size of the population and is, therefore, more or less proportional to the work involved in the service. On the other hand, it is well conceivable that the work involved, especially in the case of the auditing of the accounts of a member local government, is not at all proportional to the size of the local authority and the membership fee paid. It may be assumed that for this latter reason some associations have chosen the system of payment for some specific services.

e. Headquarters. Special bureaus for more specialized tasks. Committees

When dealing with the structure of national associations, attention should also be given to the internal organization of

their day-to-day work. Their organization is similar in so far as all associations have some location which can be considered as their headquarters, and some staff. In practice, there are of course great differences, as the headquarters range from one room (which may be a room in the Town Hall of a member local authority, or a room in a Ministry building) to one or more buildings of their own, and the staff vary from one part-time or full-time secretary to a staff of some hundreds of officials under the direction of a Secretary General or Director.

There is great variety as regards the actual organization of the activities conducted within the framework of the associations. As will appear from the following paragraph dealing with the activities of national associations, in some cases a special bureau has been created by an association for more specialized tasks, and these bureaus may function as more or less independent units, as regards payment for services and, indeed, as regards membership. In fact, the question of (extra) payment for these special services seems to have been one of the principal reasons for the setting up of a special bureau. We refer to the Bureau for the auditing of local accounts, set up by the Netherlands Association and mentioned above, and to the "Central Building Office for Rural Areas", set up by the Association of Rural Municipalities of Finland. This latter bureau is not dependent on the Association, but is established in the form of a joint-stock company (see page 21). On the whole, it is difficult in this matter, just as in the matter of extra payment for some services, to discover any special tendency in the systems practised by existing associations. The conclusion seems justified, therefore, that it depends largely on the historical development of a given association, whether or not a special bureau has been set up for the rendering of some specialized services. Only when the association co-operates with other institutions and organizations (as in the case of the Finnish Building Office), does it seem the normal practice that a separate body should be established.

In the following paragraph, which deals with the activities of national associations, several examples of special bureaus charged with some specialized tasks will be cited. Examples will also be given of the establishment of independent bodies, set up by the national associations - in co-operation with

others or not - and of other forms of co-operation of national associations with other institutions. All this testifies to the wide variety of forms, which have often developed in the course of many years, in which the national associations of local authorities perform their tasks. Reference may also be made to the analytical survey of the above mentioned publication of IULA, which contains a list of "subordinate bureaus" and a list of "institutions linked with or founded by associations".

Finally, it should be mentioned that many associations have established several standing committees which are composed of representatives of local authorities and concerned with specific aspects of local government. In the great majority of cases, these committees are engaged in keeping a watchful eye on central government legislation (see page 29) and, as a rule, their rôle is to advise the executive committee or managing board of the association on steps to be taken. Associations with a staff of lawyers and experts in other fields have these commissions also, and consider them as a useful and indispensable means of staying in close contact with their member-local authorities. Not only standing committees but also ad hoc committees are frequently set up, charged with the same kind of tasks. (It also happens that only one hearing is held on a certain subject, to inform the secretariat of an association of the current opinions, at a given moment, in local government circles, before it gives advice or takes other steps).

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### 3. Activities of National Associations

It is evident that, since the range of activities of local authorities is very wide and diverse, the same is true for the activities of their associations. Moreover, most of these associations have formulated their aims and objects in such a manner that all activities, intended to strengthen and improve local government through co-operation, come within the scope of their activities.

In a report presented to the 1953 Congress of the International Union of Local Authorities, Mr. Kjell T. Evers, director of the Norwegian Associations of towns and of rural municipalities, stated that the main purpose of nearly all national associations can be expressed as follows: "To represent the common interests of the municipalities, to foster the exchange of experience among them, and to advise the government in the preparation and carrying out of such laws and regulations as concern the common interests of the municipalities". This definition serves to show the wide range of activities of national associations. It was likewise apparent from the answers to the questionnaire, sent out by IULA for the publication mentioned above that there is scarcely any area of municipal interest that is outside their realm. The same is true, in general, for those associations whose activities were not analyzed in this report, among which are the newly created associations (although it is obvious that the activities of new associations, as well as their influence, are bound to begin on a more modest scale and to grow in the course of time). In general, there appears to be a trend among associations for further expansion of their activities. It is clear that, in these circumstances, this study cannot give more than a brief outline of the most important activities of the various associations.

These activities can conveniently be divided into two categories:

1. the provision of information and advice or the rendering of other services directly to member local authorities (individually or collectively) and
2. the representation, promotion and protection of municipal interests vis-à-vis higher public authorities (usually the central government).

Category 1. A major part of the activities of most associations consists in the provision of information and advice to their individual members. Although this information and advice may relate to many fields of activity of local authorities, the five following categories of services may be mentioned

here in the first place, as these occur most frequently 1) : (1) legal advice in general, (2) advice on by-laws and ordinances, (3) technical advice, (4) advice on filing systems, (5) help with budgets and accounts. The following table, borrowed from the IULA publication (page 30), gives the answers of the associations (totalling 57) as regards their activities in these specific fields:

	<u>1</u> Legal Advice in general	<u>2</u> Advice on By-laws and Ordinances	<u>3</u> Technical Advice	<u>4</u> Advice on filing systems	<u>4a</u> Prepared own filing system	<u>5</u> Help with budgets and accounts
yes	37	32	22	21	12	17
no	8	12	22	21	22	27
no answer	12	13	13	15	23	13

From this list it appears that legal advice in general and advice on by-laws and ordinances are among the most frequently given, and this is quite natural. Not only because it is understandable that not all local authorities, especially the smaller ones, will have good lawyers on their own staff, but also because in legal questions, for instance, the question of the correct interpretation of a certain provision of a law and, possibly even more, in questions arising on the drafting of by-laws, the experience acquired by other local authorities is of great importance and may be of considerable help. Some associations possess a collection of by-laws which are sent - with or without further advice as to the special situation of the local authority concerned - to any local authority wishing to incorporate a similar by-law or to change existing regula-

- 1) These 5 categories of services were mentioned explicitly in the questionnaire, on which the reports of national associations, gathered in the IULA publication, were based (see page 1 ). Although information was asked and given on other activities, it is not inconceivable that the information on these 5 categories is more complete than on others. We further refer to the remarks on page 2 of this chapter concerning the value of this table in general.

tions. Many of the associations that give advice on by-laws offer to their members model by-laws and ordinances, to guide them in preparing such documents. In most countries, central government is concerned with local by-laws, either because it has to approve some or all of them before they come into force, or because it has the right to annul them afterwards on certain grounds, such as conflict with the law. Therefore, this service rendered by associations to their member local authorities is of the greatest importance. Indeed, some associations deem these services to be the most important ones they render to their members. Some associations have special committees for the drawing up or the revision of specific model by-laws and sometimes officers of the central government co-operate in one way or another in these activities of the associations.

Particular activity in the field of legal advice is to be observed in some countries (Denmark, Netherlands) where an association has on occasion borne a share of the expenses of one of its members involved in a law-suit, because the latter was in the common interest of all its members.

Technical advice and advice on filing systems are also, as may be seen by the list given above, among the activities which are frequently undertaken. This, too, seems quite natural, especially as far as the filing systems are concerned, as every local authority is faced with the problems of keeping its files and archives in order, and a good filing system is of great importance in the smooth running of the daily work. It is interesting to note that about 50% of the associations which give advice on filing systems have prepared their own filing system, to be used by their members. The Netherlands Association created a special bureau for this task, which, after having drafted its own filing system (based on the decimal system of the American Dewey), found not only all local authorities prepared to apply this system, but also several central government ministries, provincial governments and other public corporations.

Technical advice given by a national association is of quite a different nature and the fact that 22 out of the 57 local authorities who replied to the questionnaire appear to be involved in this activity, proves that local authorities in many countries are engaged in activities in the technical field, although the kind of activities in this sphere differ more



than in other spheres, such as that of day-to-day administration, as in fact their tasks in housing, town planning, construction of roads and bridges, sewage disposal and treatment, etc., differ widely from country to country. Nevertheless, it would be going too far to suggest a direct relationship between the activities of the local authorities in this field and those of their associations. Having studied the various kinds of activities of the associations, one concludes that the question of which tasks they perform and which they do not, very often depends more on individual historical development or on mere accident than on a logical consequence of the tasks of their member local authorities. In Great Britain, for instance, the Association of Municipal Corporations (which comprises all important towns) does not assist its members actively in preparing for them such things as housing plans (or model by-laws, filing systems, budgets, accounts, etc.). It does make recommendations on these matters from time to time but leaves them mainly to local decision and action. Its main activity lies in the field of contacts and negotiations with Ministers of the Crown and Government Departments. The same is true, to a greater or lesser extent, of other British associations. Nevertheless, the tasks of many of the British local authorities in the technical field are most important.

On the other hand, the two Finnish Associations (the Association of Cities and that of Rural Municipalities) find one of their main tasks in the field of technical advice. The Association of Finnish Cities has a special section for technical matters, composed of a number of engineers and their staff, to advise the member municipalities on technical problems and to make investigations in this field. The rural association created a special consultative architectural and engineering office, the "Central Building Office for Rural Areas". Besides acting as a central institution for the collection and provision of information and experience drawn from the whole country, this office is concerned with the following practical tasks: (a) building design, (b) town planning, (c) geological and hydrological surveys and designing of water and drainage installations, (d) technical consultation on constructional matters. Since its reorganization in 1956, the bureau is used not only by local authorities, individually or in co-operation, but also by savings banks and industrial concerns. By the end

of 1962, this Building Office employed 97 architects, interior decorators, landscape-gardeners, various engineers and personnel, and 18 other experts. It is established in the form of a joint-stock company, whose shares are held by the Finnish Union of Rural Municipalities and other national organizations (viz. the Central Agricultural Association and the Finnish Savings Bank Union). The Finnish Union, however, holds the majority of shares. Shareholders do not receive a dividend, as the company is a non-profit making body.

The above mentioned Finnish Building Office is the biggest of its kind known. Other associations give technical advice either themselves or in co-operation with other bodies, such as planning associations or associations of engineers. Some associations, like the Netherlands Union, have an arrangement with a private technical advisory bureau, to which it refers questions for advice on and the making of plans for the construction of roads, bridges and plants for sewage disposal and treatment, etc.

The last category of activities, listed in the table on page 18, refers to assistance with budgets and annual accounts. This activity is less frequently encountered than those mentioned under 1-4, but in some cases it is of great importance. A form of indirect activity in this field is to be found in Canada, where the Canadian Federation of Mayors and Municipalities has studied the form of local authorities' financial reports, by convening conferences devoted to this subject, with the result that municipal financial reports now follow a uniform pattern throughout Canada. A direct method of assistance is to be found in the Netherlands, where a special office, created by the Union (and employing a staff of about 380 persons, spread over the whole country, where district offices have been established) is charged with the verification of the accounts of those local authorities who ask for this specific service and who thus become affiliated to this Office, including in fact the great majority of the municipalities. This Office also gives advice on all financial and economic matters, the establishment of the budget, the organization of the financial administration, the creation of specific sections within this administration, etc. The reports, established by this Office, are recognized by the higher authorities as official audit reports as required by law.

A less individual, but also effective, way of assisting local authorities in drawing up their budgets and accounts is to be found in Chile, where the National Conference of Chilean Municipalities sends to its members, in circular letters, models that enable them to draw up their annual budgets in a uniform way and in agreement with the laws in force.

After this enumeration of the most frequently found activities of national associations, some examples may be given of other services rendered directly to local authorities, individually or collectively.

In the first place attention should be drawn to the activities relating to local government personnel. Many national associations are involved either in matters of municipal salaries, wages and pension-schemes, or in matters of training, and some in both. With regard to salaries and wages: as, in most countries, municipal employees are united in one or more unions in order to negotiate salaries and wages and other working conditions, it is quite natural that local authorities, as employers, also endeavour to co-operate in this field. This can be done within the framework of a national association or in another way, but it seems natural that the national associations should play a certain rôle. In some countries, the national associations go no further than co-ordinating salaries and wages. In other countries the associations negotiate directly with the employees' unions and the results of these negotiations may or may not be directly binding on the member local authorities. In the Netherlands for instance (where the association took the initiative in creating a special body for this purpose, in the form of an intermunicipal co-operation body with its own office), the salaries and other working conditions are, after negotiations between this body and the employees' unions, laid down in draft by-laws or other local regulations which have to be approved by the local authorities. The same is true of the Association of Finnish Cities, and, besides these negotiations, important work is done in the same field by this Association in publishing and approving certain model charters on the specific duties and rights of the municipal employees. These model charters are, to a very large extent, approved by the local councils, almost without alteration. In Norway, like in the Netherlands, a special organization, "The Negotiating Division of the Norwegian Union of Towns and Union of Rural Municipalities",

established by and belonging to the two municipal organizations, deals with salaries, working conditions, etc.

Direct negotiation by the association is also to be found in Great Britain, where the various national associations appoint to about 25 negotiating bodies, established to settle the remuneration of many classes of officers, representatives who sit on the employers' side and negotiate with the representatives of employees; in some cases also their Secretaries are Secretaries of the negotiating bodies. The British Associations have also set up an Advisory Board which is intended to secure co-operation and consultation between the employers' sides of all the negotiating bodies on which local authorities are represented.

In Israel, the Union of Local Authorities represents the local authorities as employers in negotiating a collective agreement with the General Federation of Labour in Israel, covering the salaries, working conditions, etc. of local government employees. The validity of this agreement expires after an initial period of two years, but it may be prolonged after review and mutual agreement as to amendments. Although the wages and working conditions of the staff of local authorities are identical with those of Government employees, the special character of certain local government tasks may involve alteration in the status of local government employees, all of which are provided for in the agreement. All disputes are dealt with and settled by joint arbitration boards consisting of representatives of both sides. A Joint Committee, comprising representatives of the Minister of the Interior, the Union and the Federation of Labour, classifies the local authorities, specifying the maximum rank permissible to the highest officials. This classification is based on size of population, the financial capacity of the local authorities and, on occasion, the geographical position which may affect the possibilities of finding suitable staff.

It is interesting to note that one of the newest associations, the National Association of Local Authorities in Ghana (established in 1959), mentions in its constitution that one of its objectives is "to co-operate with the Local Government Workers Union in fostering good relationships between councils and employees and peaceful administration of local government in Ghana". The importance of this activity of the association appears also from the fact that, according to its

constitution, the governing body, the "National Executive Council" shall be the "Central Negotiating Committee on staff and service conditions with the Employees Union".

Another interesting example of activities in this field is provided by the Federation of Mayors and Municipalities of Canada, which prepares each year several surveys pertaining to wages, salaries and other conditions of employment affecting municipal employees. This survey is made available to member local authorities.

In general, it can be said that many national associations are involved in one way or another in questions of salaries and working conditions; this is also the conclusion of the IULA publication of 1956, which reports that twenty three out of fifty seven associations have specifically stated that they do engage in these functions.

The same publication states that only five associations reported that they were engaged in collective municipal personnel pensioning; these were the two Norwegian Associations, the Association of Swedish Rural Local Authorities, the Association of Danish Towns and the Association of French Mayors. In Norway, this is done through the "Norwegian Municipal Pensions Fund", a body established by and belonging to the two Norwegian associations (like the Negotiating Division of the Norwegian Unions of Towns and of Rural Municipalities, mentioned above), which provides a collective scheme of pensions for municipal staff. In most countries the pensioning of municipal personnel is governed by law, without the associations of local authorities being involved in the matter. (On the other hand, associations have often been consulted when the relevant law was being drafted).

The training of municipal personnel is another important field in which many associations are active. This appears not only from the IULA publication, which mentions 33 out of 57 associations being active in this field, but also from the data available on some other associations, including some newly established ones. This is also understandable, as good municipal personnel are essential for good local government, and an adequate training of such personnel, before and after they take up their posts, is one of the first requirements. As is stressed in Chapter VIII of Part II of the study, "Central Services to Local Authorities" (page 88): "Beyond doubt the quality of public administration is foremost determined by the general education of its personnel".

In the same chapter much interesting information is to be found concerning the activities of central governments, universities and institutes of public administration in helping to establish schools and training programmes for public personnel including local government personnel. It is, therefore, obvious that in many countries where local government associations are involved in these activities, they act in co-operation with one or more of these bodies. In the U.S.A., for example, there is a close co-operation in several states between the municipal organization and the universities.

In some countries there has been created, on the initiative, or with the co-operation, of the local government organizations, a Local Government Institute for the purpose of training municipal personnel. In Chile, for instance, the "National Conference of Chilean Municipalities" has established, together with the School of Political and Administrative Sciences of the Chile University, an "Institute of Municipal Studies", whose courses are highly appreciated. They are given for functionaries and councillors of the various municipalities which are situated in Gran Santiago. It is also intended to start such training courses in municipal matters in other parts of the country. Two other outstanding examples are the "All-India Institute of Local Self-Government" (Bombay) and the "Instituto Brasileiro de Administração Municipal" (Rio de Janeiro). 1)

In some other countries, the organizations act independently in the field of training local government personnel. Some of them organize regularly, or from time to time, courses, or conferences for municipal personnel, usually devoted to one specific aspect of local government. In Great Britain, the National Association of Parish Councils provides training for officials as well as for elected members. In some Scandinavian countries, we find schools created by the associations: the Joint Municipal School, established by the Swedish Associations of Towns and of Rural Municipalities and the Municipal School of the Finnish Association of Rural Municipalities. Both schools have a training centre of their own, near the national capital, and both give courses,

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1) A survey of the structure and activities of the All-India Institute, Bombay, is given in an annex to this Report.



also for elected municipal officials, which seem to be frequently visited.

The Yugoslavian association, which was established in 1953, began this kind of activity shortly afterwards. In 1960, for instance, it organized two seminars for the professional staff of its local government members: one for town planners and one for economic planners.

A very strong emphasis is laid on the training programme by the Iran Municipal Association. Not only does the constitution of this organization mention the "organizing of training classes and libraries" as one of its objectives, but it also appears, from a report of this association on its activities in 1960/61, that its training programme has been carried on with great energy and success and that many new classes and courses are going to be organized. Among the training courses which have been initiated, the report mentions courses on:

1. Municipal Management (University Graduate Course); nine months course with 27 students, 16 of whom graduated.
2. Municipal Accounting courses in which about 200 students have graduated.
3. Municipal Meat Inspection Courses of five months duration in which about 160 students have graduated.
4. "Waterwork Operation" course; 19 students have graduated and 20 students are nearing completion of the second course.
5. Junior Municipal Engineering course; 2 year programme with 28 students enrolled.
6. 15 months Municipal Management Correspondence course with an estimated 100 students.
7. Special 6 months Municipal Accounting course. Began at University of Tehran, January 1, 1960, with 34 students enrolled.

The Iran Association has also on its programme the establishment of a continuous municipal orientation course for mayors, councillors, and governors from the major cities.

Another example of activities in the field of municipal personnel is provided by the Netherlands Association, which

has a special Bureau for Personnel Management that gives advice to the member local authorities on various questions relating to personnel management. This bureau has two sections: one for advising on questions such as work-classification, merit-rating, etc., one for advising on questions of organization and efficiency.

Finally, attention should be drawn to a service rendered by many associations to their members in the form of the publication of a periodical. It is obvious that a good review on local government matters, or, more broadly, on matters of public administration and public law, is of great value and it is therefore understandable that many associations have embarked on this activity. The frequency of these periodicals varies: some are published weekly, others twice a month, monthly or bi-monthly. Certain associations publish more than one periodical. Their contents vary too, although it can be stated that, in general, the smaller ones tend to focus their attention mainly on practical questions (advice given to member-authorities; other activities of the association, new legislation or jurisprudence of direct importance to local authorities, etc.), whereas the larger ones often contain fundamental articles of a more scientific nature. It is obvious, however, that the value of a periodical lies not only in its contents, but also in the link it provides between the association and its members and between the members themselves.

A remarkable fact mentioned in the IULA publication, is that one of the oldest, if not the oldest, of the local government reviews known: the "Sogneråds-Tidende", which is the periodical of the Federation of Rural Parish Unions in Denmark and has appeared twice-monthly since 1885, existed before the establishment of the association itself, which dates from 1899. One of the newest official periodicals of an association is "The Local Government Association Review", published since 1961 by the National Association of Local Authorities (Ghana).

The above mentioned activities of national associations can be considered as being the most important among those of category 1 (the direct rendering of services to local governments individually or collectively). They are, moreover, those which are most frequently found and thus seemed suitable for more elaborate treatment in this Report. Another

category of activities which should be mentioned, can be characterized as forms of practical co-operation between local authorities, usually with a view to reducing fees they would otherwise have to pay to private enterprises, and in which the association as such plays a greater or lesser rôle:

1. Collective municipal insurance (protection against loss by fire, fraud by municipal employees, etc.).
2. Centralized purchasing.
3. Central forms office (providing forms to the local government members).
4. Central printing office and central book binding office.
5. Collective municipal banking.

Of these activities, the first mentioned is the most frequently found. Central purchasing offices are to be found especially in Scandinavian countries and the Netherlands. "Collective municipal banking" is usually part of the activity of a Municipal Credit Institution which is often based on the co-operation of local authorities with the Central Government. 1)

One other activity should be mentioned, not because it is frequently found - as in fact only one example is known - but because it is of an exceptional nature: the "Pilot-City Project", initiated by the Iran Municipal Association. The Ministry of the Interior has designated Isphahan as "Pilot-City" for the testing of progressive administrative management and operational techniques and for developing uniform budgeting, accounting, personnel, organization and other administrative procedures. These procedures are to be implemented in 46 major cities of Iran. The Pilot-City project will also be used for training purposes, as in the Pilot-City, municipal personnel from other municipalities will be trained.

Category 2. The representation, promotion and protection of municipal interests vis-à-vis higher public authorities (usually the central government).

- 1) This subject is dealt with in a separate chapter of the study on "Central Services to Local Authorities". This chapter has also been published separately by IULA (see the Foreword).

As may be gathered from what was said above (page 16) concerning the activities of nearly all national associations, these comprise the representation of common interests of the municipalities and the advising of the central government in the preparation and carrying out of new laws and regulations relating to these interests as well as the provision of information and advice or the rendering of other services directly to local authorities. In fact, most associations perform both these categories of activities, although the emphasis is sometimes more on one side than the other. As has already been suggested on page 20, this is often a consequence of historical factors, as some associations were established exclusively or mainly with a view to practical co-operation and exchange of experience, others with a view to the protection of the interests of their members vis-à-vis higher public authorities. Interesting examples of the latter category are the Association of Municipal Corporations, and the County Councils' Association, comprising the municipal boroughs, and the county councils respectively, in England and Wales. The objects of the first association (which was established in 1873, and is the oldest association in existence 1)), are "by complete organization, more effectually to watch over and protect the interests, rights and privileges of municipal corporations, as they may be affected by Public Bill legislation or by Private Bill legislation of general application to boroughs; and in other respects to take action in relation to any other subject in which municipal corporations generally may be interested". The objects of the County Councils' Association, established in 1889, are formulated in a similar way (*mutatis mutandis*). These associations are, in fact, still principally active in exercising influence upon the national legislature and in co-operating with government commissions.

An example of the opposite, an association with a strong emphasis on direct services to member local governments, is to be found in an association which happens to be one of the youngest: the Iran Municipal Association, of which the activities in the field of training of personnel were cited

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1) Except for "The Convention of the Royal Burghs of Scotland", which is supposed to have been organized by King David I, who reigned over Scotland from 1124 to 1153.

above (page 26). The constitution of this Association, as revised in 1961, mentions as its objective: "To render guidance to municipalities of Iran by the introduction and application of modern administrative methods already applied in highly developed countries, by making use of, inter alia, the following means and procedures: the fostering and establishing of annual and monthly conferences, the organizing of training classes and libraries, the collecting and centralizing of all information and statistics on municipalities in Iran and other countries of the world."

It can be stated that in the field of representation, promotion and protection of municipal interests vis-à-vis higher public authorities, there is far less variety in the associations' activities than in that of rendering services directly to member local governments.

In the questionnaire, which was the basis of the IULA publication, four questions were put regarding these activities, which seem to cover adequately the various forms of common action carried out in this field. These questions related to:

1. the exercising of influence upon the national legislature by making representations to the Government or to Parliament;
2. idem, by giving advice to the Government or to Parliament on their own request;
3. the presenting to the Government (or to Parliament) of bills, drawn up by the association itself;
4. the representation on Government Commissions, charged with the preparation of laws or with other tasks (relating to the implementation of laws and regulations).

The great majority of associations, documented by the IULA publication, exercise influence on national legislation affecting local authorities, not only on their own initiative but also at the request of the Central Government. The central government seems to accept this as one of the main activities of national associations, which is quite understandable when one considers the importance for central government ministries when preparing legislation of significance

for local authorities, of knowing the opinions current in local government circles. These contacts with the central government can take various forms: as advice given, when the occasion demands, on some piece of new legislation, at the request of government ministries or on the association's own initiative, or as the representation of the association on a government commission charged with the preparation of legislation in a specific field. Such representation is certainly of great value for both parties: the government and the association, and for the latter it has the advantage of offering accurate and advance information on legislation being considered for enactment. It is interesting to note that in many countries national associations began to make their influence felt when they started making representations to the government, and that in the course of time the various ministries have come to know their value by experience and have themselves made it a habit to ask for the association's opinion, either on specific occasions or through the membership of commissions or both. Thus the Minister of Housing and Local Government for England and Wales said in 1956, that "the Associations had now virtually become a part of the constitution of the country".

Another possibility of contact with the central government with a view to influencing national legislation is offered by the presenting to the government (or to parliament) of bills, drawn up by the association itself. This is not so frequently encountered as the other forms of contact (whereas almost all associations documented by the IULA publication were involved in the three other kinds of activities, only thirteen of them reported this activity). The Austrian Union of Towns is particularly active in this field; it has already drafted various detailed suggestions for federal or state legislative measures. The reorganization of municipal law, which was adopted by Parliament in 1962, was based in all essentials on proposals which had been drafted by a study commission of the Austrian Union of Towns.

The exerting of influence upon parliament can be, and actually is, done in various ways: by making representations to Parliament, by contacting individual members, etc. Certain associations stress the fact that they number among the representatives of the local authorities people who are in the national legislative body as well. The County Councils



Association in Great Britain has a "Parliamentary and General Purposes Committee", to which any member of either House, (the House of Commons or the House of Lords), who is a representative of a County Council on the Association and who wishes to serve on this committee, is elected.

The action of the national associations for the promotion of municipal interests on a national level is not limited to legislation. Associations in many countries are concerned with the implementation of laws or other regulations, usually by way of representation in government- or other commissions. The County Councils Association in Great Britain reports that it appoints representatives to over one hundred bodies or committees, including government sponsored bodies and committees, whose work is connected with the functions of local government.

It should further be mentioned here that in many countries it is the usual practice to invite members of the government (and of Parliament) to the association's annual congress, which seems to afford a good opportunity for airing opinions on forthcoming legislation as well as on central government policy in general. Often resolutions on certain problems affecting local government are adopted by annual congresses and sent to the government and/or parliament. An interesting method of presentation of local views is to be found in Canada, where the Executive Committee of the Federation of Mayors and Municipalities participates in an annual meeting with the Prime Minister and other Ministers to discuss legislation of interest to local authorities. In Germany, the Association of German Towns is accustomed to send to the newly elected parliament, on the occasion of its first meeting, a survey of all questions of interest for its members and which should, in its opinion, be solved by legislation in the coming period. Proposals are submitted in memorandums or put forward during conferences, the papers of which are subsequently printed and circulated to members of parliament and governmental departments.

In Yugoslavia, where the "Standing Conference of Towns" is deeply involved in legislation affecting local government and takes important initiatives in this field, representatives of the association are from time to time invited to explain their opinions and wishes at the sessions of the Federal Parliament and, in cases of exceptional importance, at the plenary session of the Chambers of the Federal Parliament.

As was stated above, in many countries the central government has made it a habit to consult national associations on matters of legislation that affect local authorities. This is done on a non-obligatory basis in the great majority of cases. In Great Britain, however, it is quite common to find in recent statutes affecting local government, a provision that before any specific action is taken, such as the making of a Regulation or Order, there shall be consultation with the associations of local authorities concerned (e. g. Local Government Act, 1958, Section 1(5), and the Local Government (Miscellaneous Financial Provisions (Scotland) Act, 1958, Section 1(5)).

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ANNEX I

The Local Self-Government Institute, Bombay State  
and  
The All-India Institute of Local Self-Government 1)

"The Local Self-Government Institute, Bombay State", formally inaugurated at a conference of local bodies of the State of Bombay in July 1927, has had the following aims and objects:

- a. To further the spread of local self-government institutions by training the people in the principles and practice of local self-government;
- b. To promote the study of problems connected with local self-government and act as a centre of information and advice for local self-government bodies;
- c. To strengthen and improve local self-government institutions by co-operation and other means and to bring them together for common endeavour and to create a community of interest among them by organization of periodical conferences;
- d. To represent the opinions of local self-government bodies of all groups or as a whole in cases in which such representation is desirable;
- e. To undertake any other measures necessary for furtherance of the interest of local self-government and the promotion of efficient administration;
- f. To incorporate, combine, amalgamate or be amalgamated with, and/or to co-ordinate acti-

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1) This Report was received from the Director-General of both Institutes, Shri Chumilal D. Barfivala, Bombay, to whom we express our sincere thanks.

tivities with any other institute or organization or persons in India or outside, working directly or indirectly, wholly or partially, in the cause of local self-government.

From its very inception the Institute has been fortunate in enlisting the support and active co-operation of the Government of Bombay. The formation of the Institute was substantially helped by the permission granted by the government to the local bodies to pay annual subscriptions to the Institute. The government has also permitted the local bodies to pay travelling allowances to members attending conferences convened by the Institute. Some of the highest officers of the government have been allowed to deliver lectures to the training classes which are conducted under the joint auspices of the Government of Bombay and the Institute. The recognition granted to the said classes and the diploma awarded by the Institute is an indication of the appreciation of the government for the Institute. Moreover, the government rendered financial assistance in the initial stage when such assistance was necessary.

The government co-operation and assistance have not interfered with the independence of the Institute. It has always been attempted to maintain the unofficial character of the Institute. The criticism of governmental policies and actions with regard to local government affairs were of a constructive character and as such have not been misunderstood by the government or its officers. On the contrary, this co-operation has contributed to a better understanding between the government and the local bodies.

The Institute has not had any political bias in its working. Its guiding principle has always been to safeguard the democratic character of local bodies, to take steps to augment their sources of income, to oppose any encroachment on their legal rights and privileges, to make strenuous efforts for increasing their efficiency, to assist them in running their administration economically and to promote integrity in their working. It is, therefore, understandable that the Ministers of Local Self-Government have found in the Institute an unbiased guide, while the local bodies consider the Institute as a true protector of their interests and prestige.

The valuable work that is done by the Institute in the cause of local government has also been recognized by the Administrative Enquiry Committee which was appointed by the Government of Bombay in 1944. The Committee's main interest in local bodies was to find out the extent to which they are functioning as an instrument of decentralization and relieve the state government of a mass of functions which have primarily local interest and appeal and can only be efficiently carried out with local co-operation. The Committee carefully considered whether there existed a need for supervision and guidance supplied by a government agency or through a statutory non-official board representative of the local bodies themselves and commanding their confidence and co-operation. It is interesting to note that the Committee suggested that instead of setting up a new ad hoc body the government should consider whether the services of the Local Self-Government Institute could be utilized. Satisfied that the objects of this Institute are comprehensive enough to include all the duties that the government may delegate to it, the Committee proposed that legal recognition should be granted to the Institute and that it should be made use of as a part of government machinery for advising and controlling local bodies.

In addition, the Institute has extended active help and co-operation in the formation of a sister-institute in the Punjab and the Local Government Institute of Rajasthan has become affiliated with it.

The value of conferences of local bodies has been emphasized from the very beginning. Up till 1959, the Institute had held 16 provincial conferences. In addition to these provincial conferences, the Institute organizes a number of divisional and district conferences of local bodies and submits their resolutions to the government.

The assignment by the government of a portion of land and forest revenue to the local bodies was mainly due to the persistent efforts of these conferences.

Since the year 1927, under the joint auspices of the Government of Bombay and the Institute, the Institute has been holding training classes for the officers of the local self-government service and has also been co-operating with local boards in arranging to hold and conduct classes for village panchayat secretaries.

The library of the Institute, consisting of a huge collection of books on all phases of local government published in India and abroad, is of inestimable value to post-graduate and research students. The Government of Bombay has been giving a special grant to the library and its equipment.

The Institute has also engaged in the publication of journals devoted to the furthering of knowledge on local government affairs. The English Quarterly Journal of the Institute is a pioneer in this field and has been enjoying the reputation of the best publication in India on the subject of local government. It also publishes journals in the languages of the States of Gujarat and of Maharashtra (Gujarati and Marathi) which specialize in the subject of village panchayats. Moreover, the Institute has so far published more than 75 books on different aspects of local government.

Many local bodies often refer to the Institute for information and for advice regarding problems of an administrative, legal and technical nature. In all such instances, advice is tendered readily and free of charge.

The Institute has assisted the local bodies in securing the services of qualified local government personnel. It also distributes papers of all kinds to the local bodies.

Another activity of great benefit to the local bodies is the arrangement the Institute has made for purchase of medicines by them at an advantageous rate. As the Government Medical Stores cannot be expected to meet the needs of all dispensaries, hospitals and maternity homes, etc., run by local bodies throughout the year, this arrangement obviates the need for the local bodies to purchase medical supplies in the open market.

It has been the custom of local bodies to approach the Institute with their individual grievances in order that it may represent their cases before the government. When the Institute is satisfied that the grievances are genuine, it takes up the matter with the government, thus trying to avoid extreme coercive action by the government.

The Institute has established a modern Printing Office with a view to assisting local bodies in having their printing work done economically, efficiently and speedily and to achieve a certain degree of uniformity. The Office is undertaking all publications of all work connected with the Institute which includes five journals, books, theses, reports, etc.



Since 1950, the Institute has lent its support to organizations undertaking related activities, such as the Indian Institute of Education, which is doing research in education, and the Indian Town and Country Planning Association, which aims to promote and extend the knowledge and study of the art of town and country planning.

#### The All-India Institute of Local Self-Government

Encouraged by its own success, the Bombay Institute took a leading part in the establishment of the All-India Institute of Local Self-Government in order to promote a comparative study of the working of local bodies in the different States and to secure co-ordination of efforts for improvement by establishing all-India contacts.

The Government of India welcomed the formation of the Institute and gave formal recognition to it. The government assisted the Institute with a token grant-in-aid of Rs. 1,000/- in 1951, which was raised to Rs. 8,400/- in 1955. Today the Institute is able to conduct its activities without any grant from the Union Ministry.

The objectives and functions of the Institute are:

1. the collection and study of all acts, rules, by-laws and regulations of all the states which relate to local self-government and to the different systems of local self-government prevailing therein and the publication of memoranda on the salient features of each of them from time to time;
2. the publication of abstracts from government gazettes, resolutions, orders and circulars issued by all the states on local self-government subjects of general interest;
3. the publication of a quarterly digest of local self-government cases of importance decided by different courts in India, and in other countries;
4. the publication from time to time of a bibliography of all articles, theses, books and other literature published in India and foreign periodicals on local self-government subjects;

5. the publication of journals, books, bulletins and literature on different phases of local self-government and on the working of local bodies in different states;
6. the organization of training classes for studies in local self-government subjects and awarding of certificates, diplomas or degrees to successful students;
7. the conducting research in local self-government and publication of the results thereof;
8. the organization of local self-government institutes or associations of local bodies in individual states in order to decentralize the work of public education in local self-government subjects;
9. the organization of, and participation in, all-India conferences of local self-government to focus attention on important local self-government problems;
10. the participation in international conferences of local self-government;
11. the undertaking of anything else necessary to fulfill the objectives of the Institute.

The Institute is a non-political, educational and research organization. It believes that local bodies should be run on democratic lines and that they should be endowed with such powers and authority as may be necessary to enable them to function as units of self-government.

In order to promote these aims and objectives, the All-India Institute :

- a. publishes journals in Hindi and Kannada, for the exchange, and propagation of the viewpoints of a number of scholars and thinkers in the field;
- b. organizes training classes in the different States to afford the necessary facilities to students to receive tuition in the art and practice of local government;

- c. undertakes research work;
- d. gives help and suitable guidance to research students who visit the Institute in their post-graduate studies;
- e. encourages the exchange of opinions amongst eminent workers in the field. Foreign Experts who are interested in local self-government subjects often visit the Institute. Such visits afford a mutually useful exchange of ideas. The Institute always welcomes interested visitors from other countries.

In short, the Institute is trying to function as a clearing-house of authentic information on different phases of local government through a network of state-wide contacts to be established throughout the country and in leading foreign countries.

The Central Ministry of Health has taken every possible opportunity to utilize the services of the Institute. Thus, it has entrusted the work of drafting model acts for municipalities to this Institute.

The Institute keeps in contact with scholars, specialists and writers with a view to encouraging the production of monographs or special features on the working of local government in different states. As a result of efforts of this nature, the Institute has been able to publish many interesting works.

As a new activity, the Institute opened a training centre for sanitary inspectors at Bombay in January 1959. Similar training classes have now been opened at Ahmedabad in the Gujarat State, Jaipur and Bikaner in Rajasthan and Delhi, thus rendering a further very useful service to local bodies in India.

Since January 1963, the Institute has started post-graduate training classes for supervisory posts in local bodies, at the instance of the Government of India, which has recognized these classes and the Diploma of "L. G. S. " (Local Government Service) to be awarded by the Institute. These classes were started in accordance with the scheme sanctioned by the Central Council of Local Government. The Government of India has sanctioned an annual grant of Rs. 25,000/- for conducting these classes.

The income of the Institute is derived from the membership fees of different classes of members and grants-in-aid from the state governments.

The All-India Institute of Local Self-Government has now become well-known not only in India but also to scholars and institutions of local government in foreign countries.

The close co-operation between the Bombay Institute and the All-India Institute of Local Self-Government has been directed, according to a resolution of the former, towards "further cementing this relationship with the end in view that ultimately the Bombay Institute and the All-India Institute are merged together and that thereby an All-India status may be attained for the joint organization."

This end has now been attained and both the Institutes have been combined and have tremendous influence throughout India in the domain of local self-government.

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## ANNEX II

### The International Union of Local Authorities

#### I. History

In 1913, the first International Congress of Towns was convened on the initiative of the Burgomaster and the City of Ghent, where a Universal Exhibition was being held. This action met with an immediate and enthusiastic response. The number of participants surpassed all expectations and was a proof of the urgent need of some form of international contact between municipalities. At this congress it was unanimously decided to found an International Union of Local Authorities. The headquarters of the Union was consequently established at Brussels.

Unfortunately, on account of the outbreak of the first World War, the Union was unable to function during the first years. After the war, however, development really began, and in 1924, the first large congress was held in Amsterdam. All European associations of municipalities existing at that time (with the exception of the Swedish, Danish and Norwegian Associations), joined in 1924, or soon after as members of the Union, and a number of American organizations also figured among its members. At the Amsterdam congress, the board of the Union was elected; Mr. F.M. Wibaut, Alderman of Amsterdam, was elected President and Mr. Emile Vinck of Brussels, was appointed Secretary-General, a post which he held until 1949. The number of members rose steadily and at the Paris congress in 1927, there was a remarkable increase in the number of delegates who attended. By 1935, 32 national unions from 22 countries had become affiliated.

The activities of IULA continued until the outbreak of the Second World War, when the work of the secretariat at Brussels was brought to a halt. Directly after the armistice, efforts were made to renew contacts and reorganize the Union. In the summer of 1946, a small conference was held in Brussels at which about 10 countries were represented. In 1947,

a full-scale congress was held in Paris and since that time a congress has been held regularly every two years. There has been a steady increase both in the participants attending these meetings and in the countries represented. The Conference, held in Washington in June 1961, attracted over 1000 persons, from 53 countries. 1)

At a meeting of the Union's "Permanent Bureau", held at The Hague in September 1948, it was decided to transfer the Secretariat of the Union from Brussels to The Hague. Mr. N. Arkema, Managing Director of the Union of Netherlands Municipalities, was appointed Secretary General. In 1962, Miss H. J. D. Revers, since 1949 Deputy Secretary-General, was appointed Secretary-General.

In recent years, IULA has gained strong support in many areas where it previously had no members. Local authorities in many countries in Asia and Africa joined the International Union, thus giving to the Union a more and more international character. At present IULA has members in 50 countries: 20 in Europe; 12 in Asia; 9 in America; 8 in Africa; 1 in Australia. 2)

The aims of the International Union of Local Authorities are:

- a. to promote local autonomy;
- b. to contribute to the improvement of local administration;
- c. to study questions concerning the life and activities of local authorities and the welfare of the citizens;
- d. to promote the idea of the participation of the population in civic affairs.

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1) In June 1963, the XVIth Congress was held in Brussels where IULA's Golden Jubilee was celebrated. About 1300 delegates attended the congress.

2) In June 1963, there were members in 55 countries: 21 in Europe; 14 in Asia; 8 in America; 10 in Africa and 2 in Oceania.



## II. Organization

### A. Categories of members

The International Union of Local Authorities has three types of member:

1. active members (associations of local authorities and individual local authorities);
2. adherent members (associations concerned with local government and private persons interested in local government);
3. extraordinary members (higher authorities).

The International Union of Local Authorities represents and reaches, especially through its federal structure, a high proportion of local authorities and local government experts throughout the world.

### B. Organs

The supreme authority of IULA is the Council of the Union which is composed of delegates of all active members. Its main tasks include deciding on the policy and general working programme of the Unions and reviewing the annual reports of activities and the financial reports.

The second organ of IULA is the Executive Committee. The rôle of the Executive Committee is to conduct the business of the Union, in accordance with and subject to the decisions and general directions of the Council. It also decides upon the affiliation of new members and fixes the amount of the annual membership fee. It verifies the accounts and draws up the budget for each year. It meets as often as may be necessary, if possible every year.

The Executive Committee consists of 14 - 18 members (at present 18); its members are elected by the General Council for six years and are eligible for re-election. 1)

- 1) In June 1963, a revision of the IULA constitution was adopted, increasing the maximum number of members of the Executive Committee to 43 and providing for an equitable distribution of the members among the various continents.

The Executive Committee appoints its Secretary-General and prescribes the conditions of his appointment. The President, the Vice-Presidents and the Secretary-General of the International Union are ex officio President, Vice-President and Secretary-General of the Executive Committee and Council. They are responsible for carrying out the decisions of the Executive Committee.

The third organ is the Secretariat, which acts as an executive body and sees to the maintenance of the Union's services. Its control is vested in the President and the Secretary-General.

#### C. Headquarters

The Headquarters of IULA are managed by the Secretary(ies)-General, assisted by the Deputy Secretary(ies)-General. The Headquarters are established in the premises of the Union of Netherlands Municipalities, which provides various services to the International Union.

From the Headquarters, the Secretariat carries on the daily business and correspondence, organizes conferences and acts as Secretariat of the Union's study committees. It also maintains a large international library and documentation centre in the field of local government.

The staff consists of 12 persons.

#### D. Finances of the Union's work

IULA is financed through membership fees received from its members. The fee for active members is based on a rate per 100,000 inhabitants.

IULA's members are not charged for the services which IULA renders to them.

A supplementary income is derived from the sale of IULA publications and the insertion of advertisements in the periodical of the Union.

### III. Activities

The International Union of Local Authorities is an organization whose aims are to promote local autonomy and

to contribute to the improvement of local administration techniques by an international exchange of experience. It deals also with all problems that relate to the activities of local authorities or that affect the citizen's interests. It aims in particular at stimulating the population's interest in its local administration.

These aims are furthered by:

1. the periodic organization of international congresses and conferences;
2. the establishment and development of international municipal relationships;
3. the maintenance of a permanent office for the collection, study and distribution of information in the field of local government;
4. the creation of committees for the study of specific problems in the field of local government;
5. the co-operation with other international organizations, governmental as well as non-governmental, in matters which are of interest to both;
6. the publication of a review and other periodicals, and of reports (see under V).

#### Organization of congresses

The International Union organizes a congress every two years. These congresses can be attended by members and non-members. Problems of interest to local authorities in many countries are dealt with and national reports on the main subject are drawn up on the basis of a questionnaire prepared by the IULA Secretariat. The national reports are generally published together with a general report.

Representatives of the United Nations and the Specialized Agencies - in particular UNESCO and the World Health Organization - usually play an active rôle in these congresses.

#### International municipal relationships

The International Union fosters the creation of links between local authorities in different countries. It also organizes,

on request, study trips for municipal officials to other countries and arranges international exchanges of municipal officials.

#### Study and distribution of information in the field of local government

The International Union acts as an international information clearing-house. It provides information on aspects of local government structure or activities in other countries and, if need be, undertakes enquiries.

The Union maintains an international library, well stocked with works on local government and related fields. It also receives a large number of municipal reviews from all parts of the world, and has built up an extensive documentation from these periodicals.

#### Special committees

In recent years, the International Union has created three special committees and one Working Group: (a) The Education and Cultural Committee; (b) the European Affairs Committee; (c) the Public Health Committee; (d) the Working Group for Wholesale Markets.

#### Intermunicipal Technical Assistance

Following a resolution adopted at one of the congresses, regarding the desirability of mutual help among municipalities of different countries, a three year pilot programme for international technical assistance on a city-to-city basis has been set up. The programme provides for the sending of experts on missions and for the reception of senior fellows or groups of fellows. IULA's task is that of an intermediary between the cities asking for assistance and those willing to provide an expert or to receive a fellow or a group of fellows. This programme, which was launched in the winter 1962 - 1963, is carried out in close co-operation with the United Nations.

#### Research Programme in comparative local government

IULA has published, in co-operation with UNESCO, monographs on local government in four selected countries and

a study on local government in about 40 countries. A study was completed in 1962, on "Central Services to Local Authorities" on behalf of the United Nations.

#### IV. Contacts with the United Nations and other International Organizations

IULA has been granted consultative status with the United Nations Economic and Social Council, with UNESCO, WHO, UNICEF and the Council of Europe. It has frequent contacts with FAO. Representatives of these bodies attend meetings of IULA and its specialized committees; IULA has undertaken several studies under contract with the United Nations and UNESCO.

IULA has developed close contacts with non-governmental organizations such as:

The International Institute for Administrative Sciences;  
The International Federation for Housing and Planning;  
The International Statistical Institute;  
The Eastern Regional Organization for Public Administration;  
The International Political Science Association.

#### V. Publications

To keep in regular touch with its members, IULA publishes a magazine, "Local Government Throughout the World", and a bibliographical list of new additions to the IULA library. Congress reports and proceedings and other occasional volumes on local government topics are also published. They are made available to members either free of charge or at a reduced rate.

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FOR PARTICIPANTS ONLY

CSLA/8  
10 October 1963

ORIGINAL: ENGLISH

ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST

In conjunction with the Eastern Regional Organization for  
Public Administration, and the Division for Public Administration  
Department of Economic and Social Affairs of the United Nations

Seminar on Central Services to Local Authorities  
21 October - 6 November 1963  
New Delhi, India

THE INTERNATIONAL UNION OF LOCAL AUTHORITIES

Explanatory Notes and Brochure

These notes and brochure have been contributed by the  
International Union of Local Authorities. They do not  
necessarily express the view of the United Nations.

omy; (2) to contribute towards the improvement





The International Union of Local Authorities

History

The I.U.L.A. (IULA) was founded in 1913 at the first International Municipal Congress in Ghent (Belgium) in response to a clear need for some form of international contact between local governments and the national local government associations which were then being established in a number of countries. Despite two world wars, IULA has grown steadily and, in the last twelve years, has become a truly world-wide organization; it has members in 54 countries and contacts in many others. Large scale international meetings are organized every two years. The last two meetings have been held in Washington and Brussels. The next congress will be held in 1965 in Belgrade. The number of participants has grown steadily too; the last congresses attracted each more than 1000 participants from over 40 countries.

Brussels Congress

The last congress of the International Union of Local Authorities took place in Brussels, from 17 - 25 June, 1963. This congress, during which the 50th anniversary was celebrated, was devoted to the development of the position of local authorities during the past fifty years and to the new tasks with which local authorities have been confronted particularly during the past fifteen years; the Congress theme was "Local Government in the 20th Century".

In addition to the plenary sessions on this theme, discussion groups were organised on specialized subjects: specific municipal activities in the fields of public health, of recreation and of economic development, as well as on local government problems in developing countries and in countries participating in European integration.

Introductory reports for the Brussels Congress were drafted by experts from 35 countries from all over the world.

Aims

Although local government takes many forms, the problems which confront all local authorities throughout the world are basically the same. It follows, then, that by comparing the methods of local administration practised in other countries and by adapting the best methods to suit their particular circumstances, local authorities can effect important improvements and economies in the management of their affairs. IULA plays a vital rôle in this process by maintaining an information service on current practice and new developments in local administration all over the world.

The aims of IULA are four in a number: (1) to promote local autonomy; (2) to contribute towards the improvement of local administration;

(3) to study questions concerning the life and activities of municipalities and the welfare of their citizens; (4) to promote the idea of popular participation in civic affairs. At the same time IULA, like most other international organisations, is founded on the broad idealism which seeks to achieve, through international co-operation, friendship and understanding between the peoples of the world.

#### Structure

The Congresses of IULA serve to study one or more specific problems of topical concern for local government. Matters regarding the organisation itself are discussed in the IULA Council where all member-associations are represented. The Council, which meets usually during the biennial Congresses, is also responsible for electing the Executive Committee. The Executive Committee of IULA numbers at present 23 members and meets usually once a year.

Monsieur A. Spinoy, Burgomaster of Mechlin, and Minister of Economic Affairs and Energy in the Belgian government, is the President of the International Union. IULA's first Vice-President is Monsieur F. Cottier, former Mayor of Geneva and President of the Union of Swiss Towns. Among the other members of the Executive Committee are representatives from all continents.

#### Secretariat

The General Secretariat of IULA is established, since 1949, in The Hague, Paleisstraat 5, in the headquarters of the Association of Netherlands Municipalities. Secretary General is Miss H.J.D. Revers; Deputy Secretaries General are Mr. J.H.C. Molenaar and Mr. J.G. van Putten.

#### Activities

The work of IULA includes the exchange of specialized knowledge and information, the organisation of meetings of experts, the arranging of international visits for study purposes and the publication of special reports and studies on specific problems. The highlights of the IULA's programme are the biennial international Congresses, which in recent years have dealt with such subjects as local government finance, education, water supply and sewerage; organisation and structure of local administrations, social services for young and old people, tasks of local government in developing countries, problems of expanding towns and traffic congestion.

IULA maintains close co-operation with the large inter-governmental organisations, enjoys consultative status with the United Nations, UNESCO and the Council of Europe and official relations with the World Health Organisation, UNICEF and with the European Communities.

Three important specialized committees - an Educational and Cultural Committee, a Public Health and a European Affairs Committee - have undertaken useful studies in co-operation with these inter-governmental organisations, e.g. on adult education and sport, on the fluoridation of drinking water, etc. and have organized international study meetings on, a.o., youth and sport, and local authorities and European integration. A Working Group

on Wholesale Markets holds conferences every three years on the organisation and management of municipal wholesale markets for vegetables and flowers. This Working Group co-operates with FAO.

IULA is planning to hold regional seminars in Africa and Asia in 1964.

### Publications

To keep in regular touch with its members the IULA publishes a review "LOCAL GOVERNMENT throughout the world", and "BIBLIOGRAPHIA", a bibliographical list of new additions to the IULA library. Congress reports and proceedings and other occasional volumes on local government topics are also published. The organisation possesses its own library - one of the largest in its field - which incorporates a collection of books, reports and magazines on local government and associated subjects from many different countries and serves as a valuable basis for research and documentation on local government affairs.

### Research

In co-operation with UNESCO monographs on local government in four selected countries have been published and under the auspices of IULA a comparative study was made on local government structure in about 40 countries. Under contract with the United Nations IULA has prepared a report on "central services to local authorities" and a study is now being undertaken on the consequences for municipalities of the establishment of the European Common Market.

### Membership

The IULA has members in the following countries: Australia, Austria, Belgium, Brazil, Canada, Ceylon, Costa Rica, Cyprus, Dahomey, Denmark, Finland, France, Gabon, Germany, Ghana, Great Britain, Greece, Iceland, India, Iran, Ireland, Israel, Italy, Jamaica, Japan, Laos, Luxemburg, Malaya, Mauretania, Mauritius, New Zealand, the Netherlands, Netherlands Antilles, Nigeria, Norway, Pakistan, Philippines, Portugal, Republic of China (Formosa), Saudi Arabia, Sierra Leone, Spain, Sudan, Sweden, Switzerland, Syria, Thailand, Trinidad and Tobago, Turkey, Uganda, Union of South Africa, United Arab Republic, U.S.A., Venezuela, Vietnam and Yugoslavia.

Membership of the IULA is composed of national associations of local authorities, individual local authorities, higher authorities, institutions or associations concerned with local government or public administration, research centres and private persons.

### Technical Assistance

The IULA carries out, in co-operation with the United Nations, a programme for intermunicipal technical assistance. Cities in developing countries in need of advice on slum clearance, tax collection methods, distribution of drinking water, filing systems or any other subject of municipal activity, can submit a request to IULA to make an expert available from an other country. For

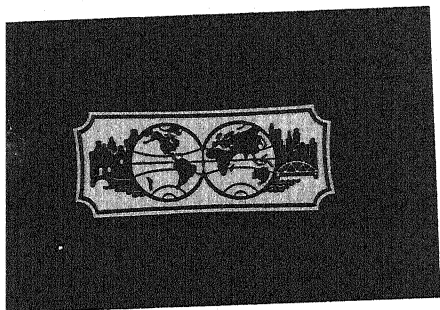
the time being the programme is limited to short-term missions of up to six months.

IULA tries to find a few candidates for the job. Their biographical data are then sent to the city requesting assistance, which makes a choice. When the project has thereafter been approved by the United Nations and the national government of the requesting city, the expert will be appointed. He will receive the status of United Nations project personnel.

The programme also provides for a limited number of fellowships for senior local officials, who wish to study the manner in which other countries have solved the problems that currently confront their own municipalities. The fellowship will cover, in part or in whole, the costs of travel to the country or countries of study and a daily subsistence allowance according to rates established by the United Nations Technical Assistance Board.

For requests both for expert advice and for fellowships final approval has to be given by the national government of the requesting nation. It is to be noted, however, that the assistance requested under this programme, will not be deducted from the total amount of assistance allocated to the country under the programmes of the United Nations and the Specialized Agencies.

IULA has published a brochure containing full details of the Intermunicipal Technical Assistance Programme. Copies will be made available on request.



IULA 1913-1963

*The story of fifty years of international  
municipal co-operation*

by H. J. D. REVERS

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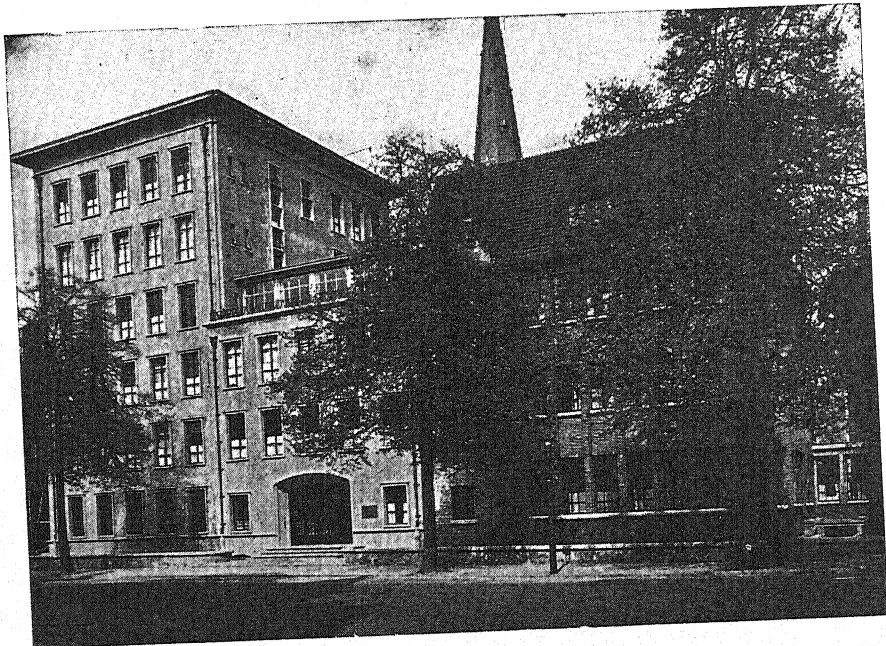
## IULA 1913-1963

*The story of fifty years of international  
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by H. J. D. REVERS  
*Secretary General of IULA*

1963

MARTINUS NIJHOFF, THE HAGUE, FOR THE  
INTERNATIONAL UNION OF LOCAL AUTHORITIES



*Building of the Association of Netherlands Municipalities in The Hague  
which contains the offices of the IULA Secretariat.*



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*Mr. A. Spinoy, President of IULA*

## PREFACE

It is a great pleasure for me to provide the preface to this remarkable book which faithfully recounts the history of the 50 years of the IULA's existence. I wish to congratulate the author of this work, Miss H. J. D. Revers, Secretary-General of the IULA, for this important — and highly readable — contribution to the knowledge of the development of an international organization which has gathered from the ideals of its founders and its own dynamism the necessary drive for developing from a small group of Europeans of good will into a strong international body.

Fifty years of IULA history — almost two generations of men who have known the convulsions of two world wars and the biggest economic, technological and social revolution that the world has thus far ever known. Thanks to the perspicacity, the tenacity and the devotion of these two generations the fragile infant that was born in 1913 has become, in 1963, a strong adult, well provided for and having considerable influence.

Let us think as we read these pages of those courageous and far-seeing founders, Burgomaster Emile Braun and Senator Emile Vinck. Let us pay them, at this time, a highly deserved tribute. I particularly tend to think of these founders at this present time when Mr. Arkema, the indefatigable Secretary-General of the IULA since 1948 is transferring the torch to Miss H. J. D. Revers, Deputy Secretary-General since 1948 and Secretary-General since 1962. For these are the people who, with the generous assistance of the Association of Netherlands Municipalities, have helped the IULA to march forward with giant steps. They have given to the IULA the solid structure which we all admire and an international audience which many organizations may well envy.

In this tribute I should also like to include the immediate colleagues of Mr. Arkema and Miss Revers in the IULA Secretariat. To all of them we owe a heavy debt of gratitude.

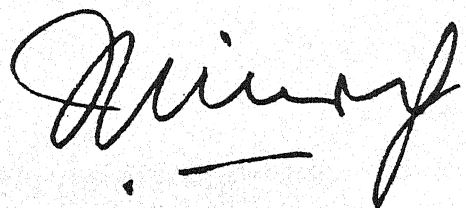
I should like to conclude this preface by expressing two wishes. The first, which has been suggested by the author of this book, but which she herself has not been able to carry out owing to the lack of time and resources, is that a complete history be made of the national associations of local authorities in all the member countries of the IULA where they exist. For these associations really con-



stitute the foundation of the IULA without which it would lose much of its strength. The history of these associations would be a fitting conclusion to this work which I now have the honour to introduce.

My second wish is that the IULA, which can look back on such a rich history and such striking development over the past years, continue along the same course it has previously followed. It is to be hoped that by profiting from the acceleration of history and by being solidly founded on the ever more numerous and more powerful associations of local authorities in all parts of the world, the IULA will continue its progress in the future. It is also to be hoped that the IULA will continue to contribute to the bringing together of people and nations in a field where there is no imperialism nor fundamental clashes of interests, but instead a friendly rivalry between local authorities from all over the world, in order to better serve their respective people.

Once more I offer a hearty "thank you" to the author of this book which is certain to be of great profit and deep interest to its readers.

A handwritten signature in dark ink, appearing to read 'A. Spinoz', with a horizontal line underneath the name.

A. SPINOY

## CHAPTER I

### FIFTY YEARS INTERNATIONAL UNION OF LOCAL AUTHORITIES

There are three courses open to us in giving a historical survey of the IULA on the occasion of its fiftieth anniversary. The first is to make a study of local government and its development in the course of the past half century; the second is to review the experiences of the national unions of local authorities and the third is to describe the history of the Union itself, with all its ups and downs.

The first alternative, a study of the development of local government, would be a fascinating task and would undoubtedly result in an interesting publication. However, in view of the large number of countries, both inside and outside Europe, which it would have to embrace, such a study would be a difficult proposition. Consequently, the subject chosen to be the theme of the 1963 Congress was "Local Government in the XXth Century". The Secretariat at The Hague has tried in the first and second parts of the questionnaire for the preparatory reports to indicate the main points on which development has occurred in local government — both in a favourable and an unfavourable sense — during the first half of this century. It is hoped that the collection of national reports made on the basis of this questionnaire in 35 countries will provide a survey of local government in the 20th century, even if this is not as uniform nor comprehensive as might be desired.

The second alternative — to describe how the national unions of local authorities have fared during this period — would form an interesting part of the historiography of the Union. For, although the members of the Union include both national unions and individual towns, and the question as to which of these two categories should really form the basis of the Union has been answered differently at different times, the fact remains that the national unions of local authorities — which in many cases include all the local authorities of a country — constitute organically the most important basis of the Union. This applies particularly to the European countries, where most of the national unions have prospered during the past 50 years. Moreover, one of the aims of the Union is to promote the foundation and development of national unions of municipalities.

However, no matter how interesting such a study might be, it would carry us too far afield, if only because of the parallels that

could be drawn not only with the development of the Union, but particularly with the development of local government in the countries concerned. For the remarkable fact is that, as a rule, the national unions are strongest and most active in countries where local government is of greatest importance, both as regards its scope of activities and as regards its position in relation to the central government, which fact is at the same time both logical and paradoxical. It is logical because the unions are made by their members, and paradoxical because the greatest need for a strong union probably exists in the very countries that have weak local governments. We may therefore content ourselves in this respect with referring to the book "National Associations of Local Authorities Throughout the World", published by the Union in 1956, in which all the unions known at the time are described, and to the study on "Central Services to Local Authorities", presented to the United Nations by the Union in October 1962, and containing a chapter on the structure and activities of national unions.<sup>1)</sup>

Accordingly, we shall confine ourselves here to the history of the Union itself, which of course does not mean that the development of the municipalities as such and that of the national unions will be completely ignored. On the contrary, these three matters are too inter-related to make this possible, the development of the Union being very much a reflection of the development of local government and also, though to a lesser degree, of that of the national unions.

Chapters II to V of this booklet give a chronological survey of the history of the Union, its activities and the subjects dealt with at the congresses, in publications or in other ways. In determining to what extent this history can be said to reflect the development of local government during this period, a distinction must be made, *inter alia*, between the activities of the Union and the subjects dealt with. As regards the former, what might be called "external factors", i.e. factors having nothing to do with local government, play a more important part than they do in the latter. Therefore we shall begin by examining the connection between the subjects dealt with in the course of the years and the development of local government.

In the first place, of course, the question arises as to whether we can speak of "the" development of local government in general. Can we discern a general line in the history of local government during the past fifty years? (This is a question which we intend to confine to the European countries, since they can be more easily

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<sup>1)</sup> The chapter on "National Associations of Local Authorities" will soon be published separately.

compared with each other.) Dr. F. M. Wibaut, Alderman of Amsterdam, who was President of the Union from 1924 to 1936, gave an affirmative reply to this question in an article entitled "International Municipal Policy", published in 1929.<sup>1)</sup> In this article, which he wrote after the congress held by the Union in Barcelona-Seville in 1929 (where, besides being the president, he was also one of the general reporters on the subject of "The Financial Organization of Local Government") he came to the conclusion that it was possible to speak of the "gradual formation of an international municipal policy", and he looked upon the following elements in the social development of many countries as being the causes of this development: firstly, urban development (towns are becoming larger and large towns are becoming more numerous) and secondly, the parallel nature of the needs arising in municipal life in many countries. In working out the second thesis, the author pointed out emphatically that he did not mean uniform needs and their uniform fulfilment, but rather similar needs being similarly fulfilled, "fulfilment guided not by entirely the same principles of local government, but by principles resembling one another". Dr. Wibaut based this thesis chiefly on the agreement indicated at the Barcelona-Seville Congress on two points: the necessary extension of the tasks of the municipalities, particularly in the social field, and the need for financial independence of municipalities as a condition for every form of municipal self-activity.

In our opinion, Dr. Wibaut's views have been confirmed in the course of the years since this article appeared both in the sense that urban growth is still continuing and producing more and more problems, and in the sense that "principles of local government resembling one another" have been seen to develop in many countries. It may even be stated that it is the large number of parallel measures taken in many countries as regards the extension of municipal tasks and as regards the financial and other problems resulting from this extension make it possible for the Union to work at all. On the other hand, it is the differences, particularly in the solutions aimed at or reached, which make this work interesting and productive.

Thus, if after surveying the development of local government we again seek a link with the subjects dealt with by the Union in studies, articles, at the successive congresses, or in some other manner, such a link, in our opinion, can certainly be found. A

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<sup>1)</sup> Dr. F. M. Wibaut, "Internationale Gemeentepolitiek", published in the "Hague Monthly" ("Haagsch Maandblad"), 1929, p. 484 et seq., H.P. Leopold (Publishers) Ltd., The Hague.

glance through the following chapters reveals, on the one hand, a series of subjects that continually recur — sometimes in the same form, but more often in a different form or with a different accent, depending on the period at which they were dealt with — and on the other hand, a series of more incidental problems on which interest was focussed at a particular time. The first group includes, as may be expected, the problem of municipal finances, which was dealt with in 1929 (Barcelona-Seville Congress) and 1955 (Rome Congress), and which again forms part of the theme for the congress to be held in 1963. Also recurring are the possibilities and difficulties attaching to urban expansion, which were first discussed as early as 1913, at the original congress held in Ghent (Town Planning), then in 1925 in Paris (Land Policy and The Large Agglomerations), again in 1929 in Barcelona and Seville (Expropriation for the Development of Public Utilities — whereby urban expansion plays an important part), once more in 1957 at Scheveningen and The Hague (Problems of Urban Expansion) and finally in 1961 (Problems of the Large Agglomerations).

Further included in this series are the social activities of municipalities, of which the following congress themes may be mentioned: Municipal Enterprises of an Economic Nature (Barcelona-Seville, 1929, where primarily those enterprises that had been established from a social point of view, such as public utility enterprises, were dealt with); The Struggle of Local Authorities against Unemployment (Berlin, 1936); Local Activities for Youth and Care of the Aged (Berlin, 1959); The Tasks of Local Authorities in Development Areas (Tel Aviv, 1960, on which occasion the social tasks of municipalities were also dealt with). Thus it will be seen that there is a long series of subjects in the social field; they are a typical example of a municipal task that is continually expanding and also continually acquiring new scope. In this connection we may mention the reports made in 1960 and 1962 by the Education and Cultural Committee of the Union, "Local Authorities and Sport" and "Problems of Maladjusted Youth" respectively, and finally, the various reports of the Public Health Committee. The social activities of local authorities appear again on the agenda for Brussels as being one of the three fields in which the tasks of local authorities will expand in the future.

The following may be mentioned as examples of more incidental subjects: The Rôle of Local Authorities in Reconstruction (Brussels, 1946 and Paris, 1947); The Big City and the Small Municipality, Their Strength and Their Weaknesses (Vienna, 1953); The Prevention of Road Accidents and Traffic in the City Centre (Geneva, 1949, Scheveningen—The Hague, 1957). However,

apart from reconstruction, which was directly connected with the war, these subjects were not incidental in the sense that they were not problems of a permanent nature. Problems of traffic, in particular, will demand the attention of the Union in the future just as they have in the past.

Finally, we may mention the subject Cultural Activities of Local Authorities, which has been dealt with twice, namely at the Congress of Berlin in 1936 and at the Congress of Rome in 1955, while the subject The Rôle played by Local Authorities in Civic Education was dealt with in 1946-47 and Local Authorities and Adult Education was discussed in 1955. Cultural activities are also one of the three fields of municipal tasks which are to be studied at the Brussels Congress with a view to the future. (The third field is that of economic activities, a subject dealt with in 1929, although this time there is a different emphasis).

Also, the subjects for which permanent committees were established after 1949 are among those to which continuing attention is given, at least during the present period of the Union's history. As is explained later, in Chapter V, each of these special committees (the Educational and Cultural Committee, the Public Health Committee and the European Affairs Committee) came into existence as a result of special circumstances. They do not fully reflect, however, the scope of activities of the Union since 1949.

There now comes the question of how far the activities of the Union are a reflection of the development of local government throughout the past 50 years. As already mentioned above, factors which may or may not be directly connected with the development of local government play a far more important part in the kinds of activities carried out by the municipalities than they do in the kinds of subjects dealt with by the Union, although a certain connection can often be recognized here too. We might even divide the factors that have influenced the development of the activities of the Union into events having nothing whatsoever to do with the development of local government but nevertheless having had a certain influence upon it, and factors more or less connected with it.

Starting with the latter, the activities of the Union, as of every organization, naturally depend in the first place on the strength of its members, on their co-operation and on their financial contributions. As was stated above, most of the national unions of municipalities have developed considerably in the course of the years, and the number of Union members, including individual municipalities, has greatly increased, with a resulting increase in financial contributions received from the members. The two latter



facts apply particularly to the period after 1949: the Union had many ups and downs in the period between 1924 and 1940. There is undoubtedly a question of action and reaction in the sense that the more initiative that is developed by the central figure of the Secretariat, the more members join the union and the more moral and financial co-operation is given by members. In fact, we may say that the Union's great prosperity after 1949 was a direct result of the fact that in that year the chairmanship and the Secretariat devolved upon the Chairman of and other leading figures in the Union of Netherlands Municipalities who, backed up by their experience in the largest and strongest of the national unions, tried to build up the Union anew. In this they were assisted morally as well as financially by the Netherlands Union.

A further factor in the development of the Union's activities can be said to be the opinion generally prevailing regarding the aims and methods of national unions of municipalities and of international unions, both in the municipal and in other fields. At the time of the Union's establishment in 1913, and also at its re-establishment in 1924, particular value was attached to the collection of documentation and the formation of a central place of information, as is evident from the reports of those days. Exchanges of experiences were also valued, as is apparent from the decision of the 1913 Congress to organize similar congresses again in the future. These, however, were the only two kinds of activities contemplated. In most cases, too, this was also the chief aim of the national unions of municipalities existing at the time — although there were already some unions whose activities extended further afield and who attempted to promote municipal interests in relation to central government bodies. However, the broader the task of government has become, and with it in many European countries the tasks of the municipalities, the more their activities have been extended and the greater their need has become for co-operation, the more the national unions, too, have extended their area of operation and the greater the need has become for an international centre that not only collects information and organizes congresses, but also makes a more profound study of the increasingly numerous and complicated problems of local government, and develops activities of its own in fields of essential importance to member unions. Moreover, there is also a whole category of new problems resulting from new groupings throughout the world: first the League of Nations and later the United Nations, the European integration movement, and new constellations in Asia and Africa as a result of the attainment by a large number of countries in those continents of their independence after the Second World War.

And this brings us to the other series of factors referred to above, namely those which, although they have nothing whatsoever to do with the development of local government, nevertheless have had their influence on the development of the Union's activities. These were events that took place in the individual countries. In the first place are the two wars, which brought the work of the Union to a standstill and so had a negative influence. Not only was the work of the Union suspended during the actual years of the two wars, but it was difficult to begin work again after their conclusion as a result of the breach that had developed between the belligerent countries. This was true particularly after the 1914-1918 war, when there had scarcely been an established organization at all. It was not until 1924 that a congress could be held after the First World War, at Amsterdam. It was only possible for belligerent countries from both sides to participate because the congress was held in a country that had remained neutral in the war. Germany did not participate in the following congress, which was held in Paris in 1925, and was not represented again until the Barcelona-Seville Congress in 1929. After the Second World War, meetings were already held soon after the war had ended, namely in Brussels in 1946 and in Paris in 1947. However, at both these congresses only representatives from Allied and neutral countries were present. In 1949, at the congress in Geneva, not only were Germany and Italy represented, but they were both admitted again as members.

Fortunately, besides these negative factors we can also point out positive "external" factors. In the first place is the co-operation among nations after the wars, first in the League of Nations and later in the United Nations. The idea that this might create new tasks and new possibilities for an international association of lower public law bodies had already arisen in 1924 among a group of Latin-American States, only a few of whom were actively concerned in the Union. In 1924 and 1925, the Assembly of the League of Nations adopted resolutions regarding the importance of international co-operation, also at a municipal level, and the desirability of co-operation between the League of Nations and the Union. As we shall see later in this booklet, these ideas were never put into effect. Apparently neither the Secretariat of the Union nor the Secretariat of the League of Nations was yet ripe for them.

However, the idea was examined again after the establishment of the United Nations and this time it was not only put into effect, but has borne fruit in a considerable measure. After contact had been made with the UNESCO in the early years following the war, the

Union was given a so-called "consultative status" in the United Nations itself (ECOSOC), in the UNESCO, the WHO and the UNICEF after 1950, while it co-operated in a more incidental manner with the FAO and ILO. This "consultative status" was a happy form of co-operation between the United Nations and its organs and specialized agencies on the one hand and what are commonly known as "non-governmental organizations" on the other hand. The Secretariat seized this opportunity to achieve real co-operation which, on the part of the Union, is largely effected by means of its special committees (see in this connection Chapter V of this booklet). On the other hand, the United Nations and its specialized agencies are more convinced of the importance of the co-operation of lower public law bodies in certain projects than had been the case in the twenties. Accordingly, special value is attached to contact with an international organization which is representative of such bodies in a large number of countries and can act as the central point for this contact. As is self-evident, this has a direct parallel to the structure and methods of the United Nations and particularly of the specialized agencies.

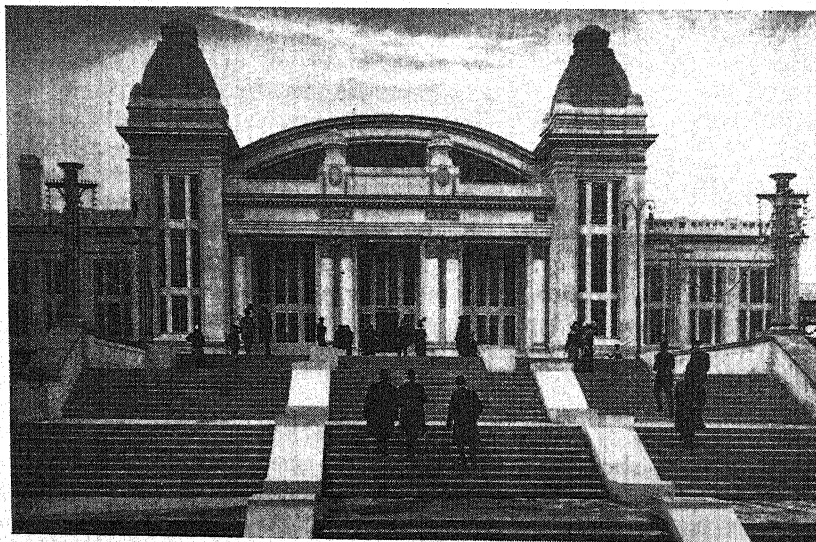
A comparable event in the life of the various countries which has influenced the activities of the Union is the progressive integration of the countries of Western Europe. Since the creation in 1949 of the Council of Europe, in which 17 European countries are now represented, the E.C.S.C. in 1952, to which six countries belong, and the signing of the Treaties of Rome in 1955, to which, at the time of the writing of this historical survey six European countries adhere as members, new problems and also, to a certain extent, new tasks have arisen for the local authorities in many countries on this continent. This inevitably produced new tasks for the Union as well. In the first place, the necessary contacts had again to be established, and as far as the Council of Europe was concerned, this was achieved by means of the "consultative status" granted the Union soon after the establishment of that body. There were naturally many new problems requiring profound study, and the Union also undertook this new task. As the European Communities gradually grew into a new level of government where decisions were taken affecting municipalities directly, the Union devoted increasing attention to the consequences of European integration in municipal affairs, and has taken measures to make effective representation of municipal interests possible in the European Communities. For this whole group of problems, too, a special committee was set up, called the "European Affairs Committee", which is responsible for activities in this field at the Secretariat and under whose auspices studies have been made on

behalf of the Secretariat (see in this connection Chapter V of this booklet).

Finally, we come to the last "external" factor that has been of significance, and even of great significance, in the activities developed by the Union: namely, the birth, following the Second World War, of a large number of new independent states in Asia and Africa and the new attitude of other states towards these continents. In most of these new countries, unlike the countries of Europe, an old tradition of local government does not exist, or no longer exists; yet nearly everywhere a system of decentralization is being built up, based or not, as the case may be, on what already exists or existed. Here there is obviously a vast new task for the Union, but equally obvious is the fact that it is difficult to find the right way in which this task may be carried out. The Union is more or less groping its way in this respect, in which task it not only has the privilege of close co-operation with the United Nations, by whom it was commissioned, *inter alia*, to make a study of the important theme of "Central Services to Local Authorities", but is also in the fortunate position whereby many new countries — as well as old countries in the process of development — on these continents apply to it of their own accord and place their trust in it. On the other hand, in tackling this new task the Union is clearly faced with fresh financial and organizational problems.

For details regarding the activities planned and the results already achieved in this field (and the former exceed the latter!) we again refer to Chapter V of this booklet. It only remains for us here to point out the Intermunicipal Technical Assistance Programme, established in 1962 with the co-operation of the United Nations and the assistance of the Ford Foundation. If this project, which is just beginning to take effect, is a success, it will have created an opportunity for members to give each other effective assistance. The United Nations are interested in this project because, in carrying out their plans for technical assistance, they have continually met with great difficulties due to the lack of proper local government, which has made them realize that assistance in this field forms an essential part of technical aid work as a whole.

Following this survey, which is confined to the main outline of the development of the Union in the course of its 50 years' existence, the next chapters contain a more detailed review of its development during this past half century.



*Floraries Palace in Ghent where the 1913 Congress was held.*

## CHAPTER II

1913 AND 1924.

### ESTABLISHMENT AND RE-ESTABLISHMENT

#### *Ghent 1913 First International Congress of Local Authorities*

The origin of the International Union of Local Authorities can be found in the first International Congress of Local Authorities held at Ghent from 27th July to 1st August 1913. The invitation to this congress and its name "Premier Congrès International de l'Art de Construire les Villes et de l'Organisation de la Vie Communale" (First International Congress on the Art of Building Towns and the Organization of Municipal Life) described not only the programme of this congress but also of the organization created on that occasion, as it was viewed in those days. "The art of town planning" and "the organization of municipal life" were the two problems with which local authorities were primarily concerned in those days, as were those groups which were interested in public affairs. It was stated in the invitation to the congress which was dispatched at the beginning of 1913:

"The rapid growth of cities has been one of the characteristic features of the 19th century. The 20th century is therefore faced with a number of problems, some of which are new, others of which are old but have increased in scope, and all of which require the full attention of statesmen, administrators and men of action. The city has become the centre where all activities of modern men are concentrated and carried out. There he receives his education, works, finds his recreation and goes for help and assistance. There human co-operation is effected in all its forms and finds its greatest and most complete expression in a number of institutions and services organized by the collectivity for the benefit of all its members.

"The general progress of civilization and the progress achieved by the most backward nations have resulted in the same questions preoccupying the administrations of major cities throughout the world today. The solutions found by one of these cities can also be used by the others, if not in the same form at least after the necessary adaptations. It follows that all those who are concerned with the improvement of cities, with municipal services, with town planning and with community life in general, have a growing interest in exchanging experiences and in discussing solutions in the light of extensive comparisons."



As has been mentioned in this quotation, the rapid growth of towns and cities, which was considered to be one of the most characteristic features of the 19th century and which gave rise to a large number of problems, constituted one of the factors that led to the idea of organizing an International Congress of Local Authorities. There were obviously several other factors which also either exerted an indirect influence or were the direct cause for the organization of this congress.

#### *Universal Exhibition*

The most direct reason for organizing a congress was certainly the "Universal Exhibition" held in Ghent in 1913. The presidents of the organizing committee of this exhibition were Emile Braun, Burgomaster of Ghent, and G. Cooreman, Minister of State. Included in the exhibition was a section on urban development, and indeed the Congress was referred to in some documents as the "First International Congress and Comparative Exhibition of Local Authorities". In addition to the Executive Committee of the Congress, the municipal council of Ghent also sent out invitations to the Congress, and it can thus be stated that the city of Ghent and its burgomaster took the initiative for this first Congress of Local Authorities.

It is interesting to note that this initiative not only gave rise to the International Union but also to the Belgian Union of Local Authorities. We read in a report on a meeting on 8th March 1913, for which the delegates of a number of Belgian cities and municipalities had been convened in order to discuss their part in the International Congress of Local Authorities, that the discussion resulted in the adoption of a resolution to establish a Belgian Union of Towns and Municipalities — reference was made to similar associations already existing in Great Britain, Sweden, Germany, Switzerland, Italy and The Netherlands. The newly founded Belgian association immediately took the first International Congress under its wing, and it was then announced that the Congress was "organized under the patronage and with the co-operation of the city of Ghent upon the occasion of the Universal Exhibition in that city, and under the auspices of the Belgian Union of Towns and Municipalities".

#### *National associations of local authorities*

It can be rightly assumed that the establishment of national associations of local authorities, to which the founding meeting of the Belgian Union referred, also constituted one of the factors that



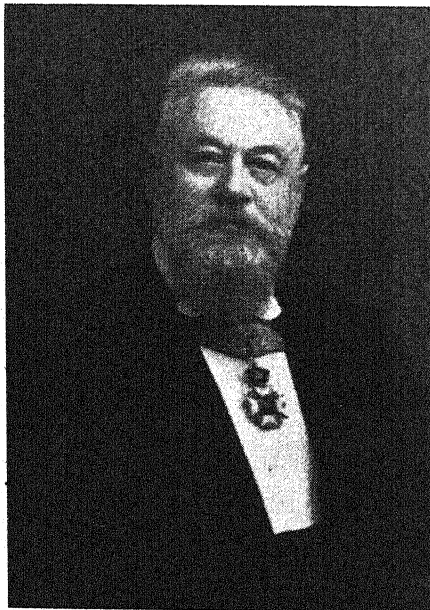
led to the convocation of the First International Congress of Local Authorities. Associations of local authorities existed not only in those countries already mentioned above, but also in a number of other countries, and approximately half of them were founded between 1900 and 1913. Although the associations differed greatly as regards their function and importance, they all bore witness to the need felt by local authorities to co-operate in one way or another. And although the congress in Ghent was considered in the first instance as a congress of individual local authorities and the organization established on that occasion emphasized the individual local government unit, the invitations were not only sent to a large number of cities (and governments), but also to the then known national associations of local authorities. (The associations that sent official delegations to the congress were those of Belgium, Canada, The Netherlands, Finland, Italy and Sweden).

#### *Administrative documentation*

In addition to the two subjects that had given to the congress its original name, there was also a great deal of interest in that period for improving bibliography and documentation in general. As early as 1895, the first "International Conference of Bibliography" was held in Brussels, in which city the International Bibliographical Institute had been founded and had its seat. Well over 20 years later, in 1918, the fourth conference was held in Brussels and was called the "International Conference of Bibliography and Documentation". Document no. 6 of this Conference was a pamphlet entitled "L'état actuel des questions bibliographiques et l'organisation internationale de la documentation" (the present state of bibliographical problems and the international organization of documentation). The authors were H. La Fontaine and Paul Otlet, Secretaries-General of the International Bibliographical Institute.<sup>1)</sup>

The booklet emphasized the importance of the documentation and the cataloguing of all scientific subjects, in addition to that of bibliography in its narrower sense, and pleaded for an international organization of such documentation. The same point was raised in the reports of the First International Congress of Administrative Sciences held in Brussels in 1910, section VI of which was devoted to "Administrative Documentation". It is interesting to note that the International Institute of Administrative Sciences, with which

<sup>1)</sup> "L'état actuel des questions bibliographiques et l'organisation internationale de la documentation", par MM. H. La Fontaine et Paul Otlet, Secrétaires généraux de l'Institut International de Bibliographie, Bruxelles, 1918.



*Baron Emile Braun,  
Mayor of Ghent,  
first President of IULA.*



*Mr. Emile Vinck, Senator,  
Secretary-General of IULA  
from 1913—1948,  
Honorary President  
from 1948—1950.*

remained the same although their content may now be different — suffice it to compare this list with the questionnaire of the Congress of 1963, whose subject is "Local Authorities in the 20th Century".

There was a total of 62 reports submitted by a large number of countries and dealing with very varying subjects which, however (although sometimes with some difficulty) can all be fitted in one way or another under the two main themes of the Congress. Some random examples which will convey an impression of the great variety of subjects are: "The high price of foodstuffs and municipal action" by Mr. Edgar Milhaud, then professor at the University of Geneva and Director of the "Annales de la Région directe"<sup>1)</sup>; "The new workmen's dwellings of the London County Council", by W. E. Riley, delegate of the L.C.C., and Superintending Architect of Metropolitan Buildings; "The treatment of school children" by Dr. Ensich, member of the Municipal Health Service of Schaerbeek (Belgium); "Rental values in the city of Tunis" by Joseph Valensi, Director of Administrative Services of the City of Tunis; "On the general progress of the major cities in Europe from 1800 until today", by Dr. Paul Meuriot, member of the Statistical Society of Paris, and of the International Statistical Institute, etc. Although we could continue in this vein, there are only two further reports we should like to mention, which were submitted by persons in the field of town planning in Great Britain who later achieved great fame: "The Modern Use of Great Monuments", by Patrick Abercrombie, of the University of Liverpool, and "Some Problems with Regard to the Planning and Arranging of Garden Suburbs and Villages for Landowners", by George Pepler, Architect, London.

A further report worth mentioning is that by Paul Otlet entitled "A grandiose project of an International World Centre" ("Un projet grandiose de Cité Internationale"). In this paper he mentions the many international movements and associations which have given rise to the "Union of International Associations". The idea of the foundation of an International World Centre is related to this latter movement. "Mr. H. C. Andersen, who heads a group of associates among whom the architect Hébrard figures prominently, has just completed the grandiose project of such a centre. He now submits it to the consideration of the states and of the inter-

<sup>1)</sup> Professor Milhaud was the founder and for many years the editor-in-chief of this periodical, which was later renamed "Les Annales de l'économie collective", published since 1908 first in Geneva and for the past few years in Liège. He is also one of the very few participants of the Ghent Congress still living at the moment when this history of IULA is being written (February-March 1963).

national groupings. In a book of monumental proportions Mr. Andersen presents his ideas." The report contains a photograph of what was probably a model of this International World Centre and passages from the book by Hendrik Christian Andersen and Ernst Hébrard, Architect (Paris 1913). This report characterizes the times and the background of one of the founders of the International Union of Local Authorities.

Obviously, not all of these reports could be discussed during a Congress lasting for only four days.

#### *Foundation of the International Union of Local Authorities*

We now come to the founding of the "International Union of Local Authorities". As appears from the enumeration given above, the establishment of an International Office of Municipal Information constituted one of the subjects of the Congress. The Secretariat-General of the Congress had written a report on this subject entitled "Sources of the study of and documentation pertaining to municipal architecture, administration and sociology. Contribution to the study of the creation of a Permanent Office of the International Congress". This subject was introduced by the *rapporteur*, Mr. Otlet, during the Congress; there was some discussion, following which everybody was in favour of a permanent office and of organizing new congresses. However, one of the great difficulties appeared to be the question of *how* such a permanent body should be organized and above all, how the cities of the various countries, particularly of those countries where there were as yet no associations of local authorities, could be represented in a central executive. Finally Mr. Emile Vinck reported during the last session and, referring to the discussions that had taken place on this subject under the inspiring and energetic leadership of Jonkheer van Karnebeek, Burgomaster of The Hague, and Louis Dausset, *rapporteur* du budget of the City of Paris, proposed a resolution which indicated in broad outline a permanent organization along the following lines:

- a. the Congress should convene periodically;
- b. a permanent office for communication and documentation, which would also act as an executive and preparatory organ for congresses, should be established;
- c. the organizing committee, with the addition of the members who had constituted the bureaux of the sections, would form the General Council of the Congress of Local Authorities and would act until the next congress with full powers, and would consider both the existing organizations and the suggestions

arising in the discussions with regard to this organization. The Council should prepare a definite constitution to be submitted to the next Congress.

The membership too was settled in these "bases for a permanent organization". There would be four types of members: (1) honorary members (higher authorities); (2) active members (towns and municipalities); (3) corresponding members (associations and independent groups); (4) supporting members (private members). The membership fees for all these categories were also fixed.

This resolution was adopted unanimously and thus gave rise to the "Union Internationale des Villes" (on Thursday, 31st July 1913). It is interesting that on this occasion of the foundation different names were used in turn: "Congrès des Villes" (Congress of Local Authorities), "International Association for Town Development", "International Union of Local Authorities". The founders did not have any clear-cut conception of whether this new body should primarily have as members individual local authorities, or associations of local authorities. Not only the name of the newly founded organization points to this uncertainty, but also the provisional constitution indicates quite clearly that in the beginning, they had in mind individual cities: "active members" are cities and municipalities. This, however, appeared to give rise chiefly to organizational difficulties and therefore endeavours were soon made to base the new organization on the national associations. Mr. Vinck stressed in his speech that "a special appeal would be made to National and Regional Unions of Municipalities, whose membership would constitute the most valuable support for the International Organization; so that the Congress, or International Association for Town Development, could to a certain extent be considered as a federation of these Unions and in some way as an "International Union of Local Authorities".

As regards this latter point, namely the national and regional associations of local authorities, it is interesting to note that at the Congress of Ghent, as was mentioned above on page 2, only six national associations of local authorities were represented as such. Although there were approximately 50 "associations or institutions", these were, for the most part, private associations that evinced an interest in the subjects of the Congress (particularly in the field of architecture and town planning). The great majority of the participants, however, consisted of representatives of individual cities (21 governments had also sent representatives).

The total number of participants in the Congress at Ghent amounted to 421 (from 28 countries), which was an impressive

number for those days. The entire congress, which comes alive again in our minds as we read through those documents, must have indeed been a grand and impressive event, particularly if we consider that it was held in a period when great international congresses were not as now the order of the day. It is therefore not surprising that great enthusiasm was displayed and that plans were made for a second Congress to be held in 1915 or 1916.

#### *1914-1924*

Unfortunately, these plans did not materialize, since the First World War broke out in 1914. From what is available in the way of documentation from the period 1914-1924 (it is not much) as regards events during those years, the following may be stated.

The "Union Internationale des Villes" (International Association for the Development of Towns) had a central office in Brussels at the seat of the "Union of International Associations". Mr. Emile Vinck was its Secretary-General-Director and there was an Executive Committee and three Secretaries-General. All these functions were assumed by the people mentioned above who had also discharged the same functions during the first Congress in Ghent. The two presidents of the Executive Committee, who can therefore be considered as the first Presidents of the Union, were Mr. Emile Braun, Burgomaster of Ghent, and G. Cooreman, Minister of State, also of Ghent. Furthermore, there was a "provisional General Council" comprising 30 persons, among whom were some who had written reports for the Congress of 1913. In addition to the "Central Office" in Brussels, there was also during the 1914-1918 war a "provisional seat" established at the office of the Association of Netherlands Municipalities in The Hague, which was founded in 1912 (The Netherlands was neutral during the First World War). Towards the end of the war, endeavours were also made from this office in The Hague to collect documentation on local government in a number of countries.

The first appeal for re-establishment coming from Brussels that can be found is dated August 1919. In this appeal the Secretary-General asked for the co-operation of members in forwarding data for the collection of documents and also for financial support; at the same time he invited recipients to attend a Belgian "Exhibition of Reconstruction". We cannot determine whether at this occasion something was done to strengthen the international ties between the different cities. This surely had been the case during a "Quinzaine Internationale", held at Brussels from 5th to 20th September 1920, which included a "Section d'urbanisme et de municipalisme"

(section of town planning and local government). Within the framework of this section a meeting of "the promotors of the International Union of Local Authorities" was held and at this meeting Mr. Henri Sellier, Mayor of Suresnes and member of the General Council of the Seine<sup>1)</sup>, and Dr. F. M. Wibaut, Alderman of the City of Amsterdam and Vice-President of the Association of Netherlands Municipalities, were directed, together with the Secretariat in Brussels, to re-activate the Union. In September 1922, a meeting was held in Paris entitled "Preparatory Conference of the Promotors of the International Union of Local Authorities" where it was decided to organize a congress (in Paris) and to organize an international documentation centre, as well as to continue with the publication of the "Tablettes Documentaires Municipales" (published as early as 1921).

A congress was only held in 1924, when the city of Amsterdam, upon proposal of its Alderman Dr. F. M. Wibaut, declared itself willing to act as host.<sup>2)</sup> It is therefore not surprising that Mr. Wibaut who, together with Messrs. Sellier and Vinck, had been endeavouring for several years to get the Union going again, was elected President of the Union during the Congress of Amsterdam. Messrs. Emile Braun and G. Cooreman, who had acted as "Presidents of the Executive Committee" throughout all these years, were designated as Honorary Presidents on this same occasion.

#### *Amsterdam 1924*

The Congress of Amsterdam, which was intended in the first place to be a meeting for the re-establishment of the Union, had only two items on its agenda; it lasted for only two days; and one of the two points on the agenda was the organization of a further congress (which then took place in Paris as early as 1925). Yet the Congress of 1924 was a very important one too, not only because on this occasion the Union was indeed reborn and obtained its definite form, but also because the programme, the reports and the discussions were very important as such, details of which follow.

The first subject of the Amsterdam Congress was: "Organization of permanent relationships between local authorities. Develop-

<sup>1)</sup> Mr. Henri Sellier took the initiative in 1922, together with Messrs. Louis Dausset and Edouard Herriot, Mayor of Lyons, both of whom had been present at the Congress of 1913, for the foundation of the "Union des Villes et Communes de France", whose first president he became.

<sup>2)</sup> Cf. Dr. F. M. Wibaut, "Levensbouw. Mémoires", Amsterdam, 1936, pp. 228, & ff.



*Avviso dei Comitati delle provincie e delle opere, a tutti.*  
*Rivista Italiana di Razionalità.*  
 Il Ricerchio Comunale (bi-mensuale) organo della Federazione dei Comuni delle  
 Comuni del Lombardo, Milano.

### C. — Unions de Villes

Union Internationale des Villes, créée en 1913, par le premier Congrès International  
 des Villes, à Gand. Bureaux: 36 bis rue de la Régence, à Bruxelles.

#### Europe:

Deutscher Städtebund, Zentralstelle, Berlin.  
 Union des Villes et Communes Belges, Directeur: M. E. Vinck, Bruxelles.  
 Convention of Royal Burghs (Scotland), Edinburgh.  
 Union des Villes Néerlandaises, Holsingfors, Directeur: M. Ehrenrot.  
 Vereniging van Nederlandse Gemeenten, S'Gravenhage.  
 Union Statistique des Villes Italiennes, Florence.  
 Union des Villes Suédoises (Svenska Stadsförbundet), Stockholm.  
 Union des Villes Suisses, Zurich, M. Grossmann, secrétaire.

#### Amérique:

Union of Canadian Municipalities, 504, Coristine Building, Montreal.  
 Union of Quebec Municipalities, Secr. Talbot M. Papineau.  
 Union of British Columbia Municipalities, Secr. H. Rose, Surrey, Centre.  
 League of American Municipalities, M. John Mc Vicar.  
 International Municipal League (Etats-Unis), Philadelphia.  
 Alberta Association of L. I. Districts and Rural municipalities, Secr.  
 Blackfalds (Alta).  
 Union of Alberta municipalities, Secr. G. J. Kinnaird, Edmonton, Alta.

## Premier Congrès International ET EXPOSITION COMPARÉE DES VILLES

- I. — Construction des Villes.
- II. — Organisation de la Vie communale.

ORGANISÉ SOUS LE HAUT PATRONAGE ET AVEC LE CONCOURS  
 DE LA VILLE DE GAND, A L'OCCASION DE L'EXPOSITION  
 UNIVERSELLE, EN CETTE VILLE, 1913, ET SOUS  
 LES AUSPICES DE « L'UNION DES VILLES  
 ET COMMUNES BELGES »



BRUXELLES  
 UNION INTERNATIONALE DES VILLES  
 36 bis, Rue de la Régence

Le projet qui nous est soumis maintenant est des plus simples. Je vous engage donc à  
 le voter.

M. VINCK, secrétaire général. — Il faut, à la fois, être large et prudent, car les unions  
 de villes varient d'aspect de pays à pays; dans l'un elles sont privées, dans l'autre quasi  
 officielles, ailleurs elles sont régionales, ailleurs encore nationales, etc. Nous devons cepen-  
 dant souhaiter leur adhésion et veiller à leur laisser toute latitude au Comité.

M. DE BAKSY. — Donc, le Comité reste bien lui-même: il ne sera pas submergé?

M. VINCK, secrétaire général. — Nullement.

M. DE BAKSY. — Dans ces conditions, je suis d'accord.

M. STRATES. — Ne convoierait-il pas de prendre acte, dans l'ordre du jour proposé,  
 des adhésions actuelles?

M. LE PRÉSIDENT. — Ces adhésions figurent au procès-verbal et cela me paraît suffisant.

M. VAN KERNBECK. — Oblige de me retirer cet après-midi, avant l'acceptation défi-  
 nitive par l'assemblée plénière, je crois devoir déclarer que je me retire, officiellement, au  
 nom de l'Union des Villes Hollandaises, au projet de statuts qui nous est présenté aujourd'hui.

M. LE PRÉSIDENT. — Nous remercions d'autant plus M. le Maire de La Haye, qu'il  
 est, en quelque sorte, le père de l'œuvre qui va prendre vie. (Vifs bruits, très bien.)

M. VINCK, secrétaire général. — Je dois ajouter à l'hommage mérité que M. le Président  
 vient de rendre à M. le Maire de La Haye, que le concours de M. van Kernbeek nous a été  
 d'autant plus précieux que, sans lui, nous n'aurions pu braver les étapes comme nous l'avons  
 fait. Il a vraiment assuré le succès de notre œuvre. (Vifs applaudissements.)

M. VAN KERNBECK. — Je vous remercie très sincèrement, mais en toute justice  
 n'ai pas mérité cet excès d'honneur. (Protestations.)

M. LE PRÉSIDENT. — Avant que ne se termine cette discussion, j'ai un vœu à formu-  
 ler. Je vous prie, à l'avenir, tenir des assemblées plénières plus fréquentes. J'ai pu constater  
 par des conversations particulières, que le système de travail en sections séparées, pour  
 déjà des manifestations. Et la chose s'explique à cause de l'étroite connexion de nos travaux,  
 fatalement inséparables.

Dans nos administrations, nous nous permettons de modifier et même de supprimer  
 les projets de nos architectes, s'ils ne cadrent point avec nos moyens financiers ou avec  
 notre politique communale.

ment of interchangeable documentation". On this subject, Mr. Vinck submitted a general report, which stressed the importance of national associations of local authorities, many of which had been founded during the past 20 years. Such associations he considered primarily as a source of information concerning local authorities in the country concerned. He further dealt with the question of how these sources of information could be channelled towards one central point and then cited the International Union of Local Authorities, which could be considered as a federation of national unions (a concept that had already been voiced by him in 1913, albeit somewhat hesitantly). He then related how the International Union had been endeavouring ever since 1921 to act as a central point of information by issuing the "Tablettes Documentaires Municipales". Only three national associations (France, Belgium, The Netherlands) co-operated regularly at that time, but a number of other associations had likewise promised their co-operation in future.

A resolution was adopted concerning the first subject of the Congress (the first of a series of resolutions of the Congress), recommending the system of documentation that had been adopted by the Dutch Association, both for the other national associations and for the central documentation of the International Union; the resolution furthermore recommended the continuation of the publication of the "Tablettes Documentaires Municipales", the co-operation of all countries in its compilation and a closer study of this matter. From the foregoing, one may deduce that at that time the most important task of the Union was considered to be the formation of a central point of documentation and information.

The second theme of the Congress was "How can local authorities in different countries contribute to the work of the League of Nations and of the large international organizations in the municipal sphere, particularly in the fields of hygiene, public health and social work (Red Cross Society, control of tuberculosis, venereal disease, and cancer, the combating of unemployment, etc.)"? This demonstrates that the then leaders of the Union did not see it as a central point of information on municipal affairs *only*, but that they wanted the Union to also play another part, i.e. that of representing municipal interests with the major international organizations, both governmental (League of Nations) and non-governmental. This wish, which has been maintained throughout (cf. Paris Congress of 1925), actually assumed a more precise form and led to concrete results only after the Second World War, particularly after 1948. In 1924, a number of reports of international associations, such as the League of Red Cross Societies,

the "International Association for the Combating of Unemployment" etc. were submitted to the Congress; however, only a brief discussion took place on these reports. The second of the decisions passed at the Congress of Amsterdam referred to the League of Nations and recommended the adoption by the Assembly of the League of Nations of a resolution submitted by the delegation of Cuba on behalf of the Pan-American Union during the fourth Assembly (1923) recognizing the importance of co-operation between local authorities in an international context and recommending a closer study of the possible relations between the League of Nations and the Union. This resolution was indeed passed by the Assembly of the League of Nations in its session of 20th September 1924 (as can be read in the report on the Congress of Amsterdam). It read as follows:

"The Assembly,

"Recognizing that the establishment of direct relations between major local authorities of the different countries, within the strict limits of the sovereignty of the States, constitutes a new form of co-operation between the peoples which will contribute to the dissemination of ideals that have led to the creation of the League of Nations and has inspired its activity:

"Decides to accept with the greatest sympathy the doctrine of intermunicipal co-operation, recommended to the members of the Pan-American Union by the Conference of Santiago de Chile;

"And invites the General Secretariat to prepare for the Sixth Assembly a report relating to intermunicipal co-operation and to those aspects that can already be implemented in such co-operation, and relating to the possible rôle of the League of Nations in this matter, taking into account either the means at its disposal, or of the assistance that may be afforded by other organizations."

Decisions numbers III and IV of the Amsterdam Congress referred to the Pan-American Union (with which organization the Union wanted to co-operate) and the international organizations: an inquiry should be made into the relations existing in every country between the local authorities and the major international associations concerned with health and social work. Lastly, there were some decisions of an organizational character: a small committee consisting of Dr. F. M. Wibaut, President, Mr. Sellier, and Messrs. Bruggeman and Vinck (Directors of the French and the Belgian Unions respectively) was named to organize the following Congress. This Committee would also immediately form the executive of the International Union. (In December 1924 a

further meeting of representatives of associations of local authorities from eight countries was held in Basle, at which time draft statutes were drawn up, as was a first outline of the regulation of the voting rights in governing bodies, and the membership fees. Furthermore, it was decided to organize the next Congress in Paris).

It can therefore be seen that the International Union was revived as a permanent organization in Amsterdam in 1924, that it got a Provisional Executive and a new President and that during its deliberations a programme for future action was worked out. This programme, of which documentation certainly remained the principal point, opened a wider perspective in some respects than that which is discernible in the documents of 1913. First of all, this is because a relation was sought with other international organizations, and secondly, because these organizations (with the exception, evidently, of the League of Nations) were active in the social field and thus a different field of municipal activity was stressed than in 1913, when concern in the first instance was the *building* of cities. It is interesting to note, by the way, that the invitation to the Congress also contained the information that "La Fédération Internationale pour l'Aménagement des Villes" was also organizing a conference to be held in Amsterdam in the days immediately following those during which the IULA Congress was to take place. The habit of combining wherever possible the congresses of these two international organizations (sometimes also with those of the International Institute of Administrative Sciences) was also frequently adopted in later years.



### CHAPTER III

#### THE INTERNATIONAL UNION OF LOCAL AUTHORITIES

FROM 1925 TO 1939

Thus, after the International Union had been re-established in 1924, it developed various activities in the period preceding the Second World War. The most important of these were the great congresses held in 1925 (Paris), 1929 (Barcelona, Seville), 1932 (London) and 1936 (Berlin and Munich).

In between, smaller gatherings, called "conferences", were held which usually dealt with one or two subjects of a more specialized and technical nature, and which were also attended by fewer delegates. A magazine was also published which, in the course of the years, has been altered from time to time as regards its form and contents (vid. infr.).

However, the Union's most important activities were the congresses, so that we shall consider the history of the Union at this period chiefly from the point of view of the four big congresses referred to above. Of course, in doing so we shall have to rely upon the documents of these congresses for our information (which in the early years also included a report by the Secretary-General on the fortunes of the Union, thus making them a valuable source of information for this organization).

#### *National unions*

First, however, we must examine some other aspects, the first of which is the national unions belonging to the International Union. The proceedings of the Amsterdam Congress included reports on the activities of some five national unions of municipalities. It is impossible, however, to find out how many unions were members at that time. Before the congress in Paris, the secretariat had collected reports regarding the organization and activities of 23 national unions, which were included among the documents for the Congress. Although most of the reports are short, they nevertheless give us a good idea of these organizations, and the fact that they were included among the documents for the congress leads us to conclude that the national unions in question also belonged to the international organization (although this cannot be said with certainty). In any case, it proved that the secretariat in Brussels attached increasing importance to the national unions of municipalities which came more and more to form the solid basis

of the international organization, side by side with individual towns.

This was also evident from the statutes, a preliminary draft of which was dealt with at Basle in 1924 (vid. supr.) and which were brought up again in 1925. In these new statutes the active members were in the first place "Associations of towns and other administrative authorities exercising local powers" and only in the second place — and then in countries where there was no union or where the existing union was not a member — individual towns and local authorities. (This latter restriction on the possibility of individual towns becoming members, which was subsequently deleted from the statutes, should be seen in connection with the fact that at that time many of the national unions were still weak and were afraid that municipalities would not join them if they could be members of the International Union on their own.<sup>1)</sup>)

Also entirely in line with the foregoing was the fact that one of the recommendations and resolutions approved by the Congress of Paris read as follows: "The establishment in all countries of unions of towns and local authorities should be promoted."

In the congress reports on Barcelona-Seville (1929) only four reports are to be found regarding the activities of national unions, namely from Germany (where there were five different unions at that time), Spain, Lithuania and Yugoslavia.

The de luxe edition on the London Congress (1932) contains a larger number of reports from national unions (21) which, although their structure varies considerably, nevertheless are of interest on account of the picture they provide of the organization and activities of the unions in the years preceding the Second World War. According to the information available, 32 national unions belonging to 22 countries, were members at that time. At the 1936 congress (Berlin-Munich), reports regarding the activities of national unions were not included, and it was not until the congress at Vienna in 1953, that the activities of the national unions of towns and local authorities even became one of the

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<sup>1)</sup> Moreover, the following had been adopted from the guiding principles indicated at Ghent: corresponding members (other unions and institutes); adherent members (private individuals); "patrons" (higher authorities), with the addition of honorary members (persons or institutes chosen in their own right).

The Statutes were finally established definitely at a meeting at Berne on July 16, 1927. The rules governing membership were the same as had been drafted at Basle, with the exception that "adherent members" were now taken to include both unions and private individuals. Article 2 of the Statutes stated that the Union "is established according to the Belgian law of October 25, 1919, pertaining to international scientific organizations", and that the head office of the Union was in Brussels.



subjects of the congress, or any attention was paid to the matter at all. We shall revert to this subject in Chapter IV, which deals with the period following the Second World War.

*Contact with the League of Nations and other governmental and non-governmental organizations*

With regard to contacts with the League of Nations and with a number of non-governmental international organizations and institutions, the following is pertinent: At the congress in Paris in 1925, two representatives of the League of Nations who were present stated that, in pursuance of the resolution passed by the Assembly in 1924 (vid. supr.), the Secretariat of the League of Nations had sought contact with existing organizations in the field of municipal affairs, including the Union. It was hoped that such contacts, on which a report had been drawn up, would lead to concrete co-operation, although at the moment the only definite possibility appeared to be co-operation with the International Labour Office (a representative of which was present at the congress). The sixth Assembly had just (September 1925) adopted the following resolution in this connection:

"The Assembly, approving the report on international municipal co-operation submitted to it by the Secretariat, in conformity with the resolution of last year, resolves to draw the attention of the various governments to the importance of close national and international co-operation between municipalities within strict bounds of national sovereignty, from the point of view of the objectives aimed at by the League of Nations, and invites the Council to authorize the technical organizations of the League of Nations to give a favourable response, in the measure they consider possible, to requests for assistance and co-operation addressed to them by various non-official international organizations dealing with matters of interest to municipalities."

In the meantime, documents for subsequent years prior to the Second World War do not reveal whether this resolution had any practical effect. It seems that in the years before the war, the way had not yet been found in which to bring about more effective co-operation, such as was established after the Second World War between the United Nations and non-governmental organizations, including the Union, by means of the so-called "consultative status". Moreover, it is well-known that the League of Nations went through a crisis in the thirties, which became very grave when Germany resigned in 1933.

As regards contacts entered into with other international organizations preparatory to the Congress of 1924, these also had little practical effect, as far as we know.

In his report to the 1925 Congress, the Secretary-General remarked that only contacts with the International Labour Office at Geneva had produced a concrete plan for co-operation. Such co-operation mainly covered documentation and statistics with regard to "public health, employment and unemployment, occupational guidance, leisure for workers and the co-operative movement".

A report on "The Relationship between IULA and I.L.O." by M. Edgar Milhaud, Professor at the University of Geneva and I.L.O. delegate, is to be found among the documents of the Congress of Paris. (This matter was also dealt with at the congress, and among the recommendations and resolutions of the congress is one recommending continued collaboration with the I.L.O.).

Thus although, as is evident from the foregoing, there was no or practically no co-operation with the big international organizations before the Second World War, it is nevertheless interesting to note that at the very beginning of the period in which such international organizations at governmental level came into existence, the need was felt, both by these bodies themselves and by the municipalities, of consulting the minor public law bodies.

#### *Publication of "Tablettes Documentaires Municipales" and other periodicals*

Before embarking on a short review of congress subjects during this period, we wish to draw attention to another of the activities of our organization in these years, namely the task of documentation and the publication, based thereon, of the "*Tablettes Documentaires Municipales*", an analytical bibliography of studies and information relating to municipal questions. As we stated in Chapter II, this publication first appeared in 1921, though at that time the sources included came only from a few countries. The Brussels office continued collecting documentation from many countries, to which it attached great value and in the interest of obtaining which it never tired of calling upon such countries to co-operate.

The "*Tablettes Documentaires*" continued to appear up to and including the year 1932, some years as a separate publication and other years together with another of the Union's periodicals. The latter was variously named: "*Les Sciences Administratives*" ("The Administrative Sciences") and "*L'Administration Locale*" ("Local

Administration"). The former journal was published together with the *Commission Permanente des Congrès Internationaux des Sciences Administratives et de l'Institut International de Bibliographie et de Documentation* (Permanent Commission of the Congresses of International Administrative Sciences and the International Institute of Bibliography and Documentation). "*L'Administration Locale*", published between 1927 and 1939, in which a large variety of articles and reports was included, appeared in loose-leaf form as from 1933.

In this connection, it is also interesting to remark that from 1937 to 1939 the Union again co-operated with the International Institute of Administrative Sciences in the field of documentation. Both organizations had together created *Services Communs de recherche et de documentation administratives* (Mutual Administrative Research and Documentation Services), which, during these three years, again brought out the "*Tablettes Documentaires*".

### Congresses

If we now consider the congresses held during this period, it is of course impossible to treat at any length all the subjects they dealt with, or the national reports submitted to the congresses and the proceedings that followed.

(For a complete list of all congresses, the subjects dealt with and the general reporters, we refer the reader to the appendix at the end of this *exposé*). Nevertheless, most of the subjects dealt with will be briefly reviewed, not only because they give an idea of the activities of the Union (and consequently also of municipal authorities) during the years under consideration, but also because it is interesting to see how some of the congress themes relate to matters of particular importance at a given period, while other congresses on the other hand deal with material with which the municipalities and their administrators are concerned almost continually.

### The Congress of Paris in 1925

In Paris there were three subjects: Systems of Municipal Government in Various Countries, The Land Use Policy of the Local Authorities and its Influence on the Problem of Housing, and The Large Agglomerations: Legal and Administrative Problems Resulting from the Extension of Suburbs and their Incorporation in the Large Urban Centres. A voluminous general report on the first subject was written by Mr. G. Montagu Harris, of the Ministry of Health in London, besides national reports from 10

countries. The report by Mr. Montagu Harris (who had formerly been Secretary of the County Councils Association of England and Wales) was one of the first pieces of comparative general municipal law we know.

At the same time, the study originally written by Mr. Montagu Harris had nothing whatsoever to do with the congress. It ensued from his co-operation in a Royal Commission on Local Government, of which Lord Onslow was chairman, which had the task of gathering information of an official nature on systems of local government in the British Empire and in a certain number of foreign countries. Mr. Montagu Harris was authorized to use the information he had collected for a study of his own and the IULA obtained his permission to publish a French version of this study for the congress in Paris.<sup>1)</sup> Thus his general report was not a résumé of the national reports, of which ten had been submitted and which appeared as "annexes" in the same congress document. These were based on a questionnaire drawn up by the congress committee on the subject, "The Relationship between the Central Government and Local Authorities". (Several of these questions correspond with those in the questionnaire for the 1963 congress).

The whole collection of reports, a book of 300 pages, is still a very interesting document.

For the two other subjects of the Congress of Paris in 1925, "The Land Use Policy of Local Authorities" and "The Large Agglomerations", the method was followed for the first time of national reports (based on a questionnaire) and a general report summing up the national reports. The general reporters were M.P. Droogleever Fortuyn, subsequently Mayor of Rotterdam, and M. Henri Sellier, Mayor of Suresnes, one of the founders of the Union des Villes et Communes de France and at that time its secretary-general.

The remarkable thing about these two subjects is that at the time they were probably of fairly recent interest, i.e. they really dealt with comparatively *new* problems, and that today (in 1963) they are still of the greatest importance. (At the Washington Congress in 1961 one of the subjects was again the large agglomerations!). The newness of the problem of the large agglomerations — not of their existence, but of recognizing and analyzing the nature of the problem they present — is apparent from the fact that it had been considered necessary to provide the subject with the sub-title mentioned above: "Legal and Administrative Problems resulting

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<sup>1)</sup> The almost identical English version appeared in London in 1926: "Local Government in Many Lands". A comparative study by G. Montagu Harris, O.B.E., M.D., London, 1926 (Second printing 1933).

from the Extension of Suburbs and Their Incorporation in the Large Urban Centres".

At that time, it was customary to adopt "recommendations and resolutions" at the end of a congress. Some of those of the 1925 congress have already been mentioned above. Recommendations were also adopted with regard to the three subjects dealt with.

With regard to "Systems of Municipal Government in Various Countries", a recommendation was simply made for further study of the matter. However, the recommendation in respect of "Real Estate Policy" (which was also to be the subject of further study) starts by stating that "The Congress agrees to reject in this matter, and in all other matters, propositions tending to indicate a line of conduct for the municipalities", which leads us to suspect that there must have been quite considerable differences of opinion on this point. The main item in the resolution on the large agglomerations is the following: "The Congress considers that a sound administration demands that the whole of the elements liable to be taken into consideration in the management and exploitation of a public service must depend only upon a single authority, both from the point of view of financial organization and as regards the geographical zone of action".

That the organization of the great urban agglomerations divided into distinct administrative units must be arranged in such a fashion as to ensure maximum financial solidarity between the different constituent elements, that it must allow centralized management of all services of communal interest, either by creating a general power superimposed for this purpose on private authorities or by amalgamating local administrative units with a view to exploiting services having a general character".

Both as regards its subject matter and as regards the number of participants, the Congress of Paris appears to have been a great success. According to the information available there were 772 delegates from 29 countries.

#### *Barcelona-Seville*

We now come to the 1929 congress, which was held in Barcelona and in Seville. We have the impression that a certain fixed procedure had been found at the Paris Congress in 1925, which was also applied at subsequent congresses. Invitations were now sent in the first place to the national unions; there was a limited number of subjects for discussion (cf. the nine sub-titles of the theme "Communal Administration" dealt with at Ghent in 1913); national reports were submitted, based on a questionnaire; and there were



*Dr. F. M. Wibaut,  
Alderman of Amsterdam,  
President of IULA  
from 1924—1936.*



*Mr. G. Montagu Harris, O.B.E., M.A.,  
President of IULA from 1936—1948,  
Honorary President from 1948—1951.*

general reports, in which these national reports were summed up. Unfortunately, there was no report from the Secretary-General of the 1929 Congress regarding the state of affairs in the Union, nor is such a report to be found among the documents of subsequent congresses at this period. The congress documents, which now contained not only a general report, but also 12 or 14 national reports on each of the three congress themes, are most impressive.

The first subject for the Spanish Congress was "The Financial Structure of Local Governments". This subject is a typical example of the themes which continually recur. As we shall see later, municipal finance also formed one of the main subjects of the Congress of Rome in 1955. In a preface to the congress questionnaire in 1929, it was pointed out that the study of municipal finance was looked upon as supplementing the study made by Mr. Montagu Harris in 1925 on systems of municipal government.

The general reporters were the President of the Union, Mr. F. M. Wibaut, Alderman of Amsterdam, and M. Henri Sellier, Mayor of Suresnes. An introduction to the report, before the national reports are analyzed, contains an examination of the various kinds of local authorities in the different countries and the very varied division of tasks between such local authorities and the central government — which must indeed form the basis for any comparison of systems of municipal finance in the various countries. The report attaches hereto the thesis that the allocation of tasks to the municipalities is largest where they have the greatest financial freedom. (In the general report for the Congress of Rome in 1955 other conclusions will be found — at least if "financial freedom" is taken to mean the levying of their own municipal taxes. It would be interesting to compare both the general reports of Mr. Wibaut and Mr. Sellier and the national reports from 14 countries in 1929 with the various reports for Rome!).

Another striking feature of the general report by Wibaut and Sellier is that they state that "our International Union, by its very nature, renounces any ambition to establish general recommendations determining lines of conduct to be followed in each of the member countries in preparing its public law legislation". Entirely in agreement with this is the fact that during the Barcelona-Seville Congress, and also on the occasion of subsequent congresses, apart from a few exceptions no more recommendations and resolutions were adopted. And in view of the great variety of structure and competence of the municipalities in the different countries this is not really possible — at least not if a resolution is to contain more than some vague remarks, in which case it is of little value.



The second subject of the 1929 Congress was "Municipal Economic Enterprises", the third "Expropriation in the General Interests." Thus, all the different congress subjects lay in the financial and economic sphere. (The "expropriation" theme was directly connected with the subject of land use policy dealt with in 1925).

It is unnecessary to state that both these subjects, too, are still of interest today. As we know, one of the special subjects of the 1963 congress is "The Economic Activities of Local Authorities". Here again, a comparison is interesting.

In 1929 attention was mainly paid to public utility enterprises (which, at least in the questionnaire for the reports in 1963, is gone into less thoroughly than other activities of the municipalities in the economic field).

Yet in the "Examples of Municipal Enterprises and Exploitations" others were also named, for instance under the heading Food: municipal restaurants and "Ratskellers", and under the heading Fine Arts: museums, theatres, orchestras and cinemas.

The 1929 Congress included an extensive and interesting journey through Spain, in which 200 congress delegates took part. They travelled by special train and at every station where the train stopped delegations from the municipal authorities came to greet them. This made a great impression on all those attending the congress. A further piece of information regarding this congress is that quite a large number of towns in Latin American countries were represented, undoubtedly as a result of the special bond between Spain and Latin America. Moreover, it is interesting that Germany was again represented at the Spanish Congress, which had not been the case at the Paris Congress.

#### *The London Congress in 1932*

Although the Congress in London in 1932 had only two subjects, one of them was very comprehensive. It was entitled "The Practical Working of Local Authorities" and was intended to be a continuation of the study made in 1925 and a supplement to Montagu Harris's report for the Congress of Paris. And so it went without saying that Montagu Harris should again be the general reporter on this subject. In the introduction to his very interesting general report, after having stated that the study he made in 1925 had been published as a book in English with official permission and the French version used as a report to the Congress of Paris, he goes on to write: "It is necessary for me to allude to this, for the reason that that Report (of 1925) was held to contain, for the purposes of the present Congress, a sufficient outline (although now in many

respects somewhat out of date) of the legal framework of the local government systems in each of the countries dealt with, whereas it was desired this year (after having covered the ground of finance at the Congress in Spain in 1929), to build up on this foundation a review of the manner in which the said local government institutions actually work in practice." The writer then shows how much more difficult it is to obtain trustworthy and correct information regarding this practical working. This is followed by a systematic survey of the working of institutions such as an "Elected Assembly", an "Executive", "Committees" and also of the "Relations between Elected Assembly and Executive", "Office Organization", "Referendum", etc. Although it is now out of date, Montagu Harris's study is still interesting. It is included in the report of the London Congress on the subject of "The practical work of local authorities", together with national reports from no less than 31 countries. This was the largest number of national reports ever attained before the War, which proves that the Union was becoming more and more firmly established among the national unions. Among the reports, there were six from non-European countries, namely four from countries of the British Commonwealth (Canada, Australia, New Zealand and South Africa) and also one from the United States and one from Persia.

The second subject of the London Congress was "The Training of Local Government Officials". On this subject too, a general report was made and a large number of national reports (20). The general reporter was Professor Herman Finer, Professor at the London School of Economics (part of the University of London) now at the University of London and author of a number of books in the field of public administration. His report also went into the matter thoroughly and began with a chapter on "The Importance of Administration in Modern Local Government", which — apart from a few practical items of information — is still of current interest as, of course, is the subject itself.

The London Congress also included a number of excursions, some of them actually in London and some of them to other towns in Great Britain. In London itself small groups visited a number of municipal institutions of Greater London (schools, hospitals, etc.) and the London School of Economics (University of London), where discussions took place between a group of delegates and a number of professors, namely Professor Finer and some of his colleagues (Professors Robson, Hunter, Tawney, Keynes, Martin, Unwin and Heddicar). These discussions at a high scientific level were undoubtedly very interesting and it would be of great advantage if the congresses held by the Union today were to offer

similar opportunities. Of the excursions to other towns, those to the famous garden cities of Letchworth and Welwyn should be mentioned. Furthermore, there was a local government exhibition connected with the congress, which was an exhibition of "appliances, plant and materials used in connection with the various phases of local government administration".

The congress documents for London were published for the first time in three languages — not only in French and English but also in German. Moreover, we must mention the fact that apart from the ordinary reports issued in a normal size at Brussels, a large-size de luxe edition was published in London, containing besides the normal congress documents descriptions of the national unions belonging to the Union and of a number of towns in a large number of countries, all with illustrations (likewise in the three languages, English, French, and German).

#### *The Berlin-Munich Congress in 1936*

We now come to the last pre-war congress, which was held in Berlin and Munich in 1936. (Unfortunately, most of the documents of this congress we possess exist only in a German version).

Shortly before the Congress the President of the Union, Mr. F. M. Wibaut, died. Mr. G. Montagu Harris, who had played such a large part in our organization as far back as 1925, was appointed his successor. He remained President until 1948.

The Berlin Congress began with a long opening speech by the new chairman who first paid homage to his predecessor, who, in the twelve years of his presidency, had so well deserved of the International Union of Local Authorities. He then gave an account of his world tour in the years 1933/34 starting with a stay of six months in the United States and Canada. He referred to the Public Administration Clearing House in Chicago, at that time under the management of Mr. Louis Brownlow, as one of the most valuable research institutions in America and stated with satisfaction that the big municipal unions in the United States had now joined the Union.

Mr. Montagu Harris had subsequently visited Japan and then India, where a number of unions and institutes existed in the field of local government. In this connection he referred in the first place to the Institute of Local Self-Government in Bombay, which had already belonged to the Union before Mr. Montagu Harris's tour and had arranged his journey through India. Mr. Montagu Harris also expressed his conviction that in the vast and densely populated country of India, where local government is based on a great tradi-

tion in the past, it will be of very great significance in the future. The President finally gave his views on the task of the Union: it was not, he said, to criticize certain systems, but rather as a scientifically aimed organization, to search into such systems and compare them; it could then be left to those who bore the responsibility for their own people to draw their own conclusions. This is a point of view which obviously applies at all times, but which in Germany in 1936 must have been voiced with a specific purpose.

We have mentioned Mr. Montagu Harris's speech not only because the tour described in it supplied the material for two books, namely "Westward to the East" (1935) and "Comparative Local Government" (1948) <sup>1)</sup> but also because this tour, made by the man who, as he himself said, had attended all the congresses of the Union since 1924 and nearly all the meetings of the Bureau (of which he was one of the English members) extended the Union's contact with countries outside Europe (U.S.A. and Canada) and partly even (as in the case of Japan) established such contact for the first time. As we know, contact with Asiatic and later also with African countries was increased and intensified considerably after 1950 (see Chapter V).

One of the two subjects of the Berlin Congress was of highly topical interest, the other being of a more general nature. The first was "The Local Authorities Campaign against Unemployment" and the second "Cultural Enterprises of Local Authorities".

It is interesting to note that one of these two subjects, namely the activities of municipalities in the cultural field, was dealt with again after the war; first in Rome in 1955 and then in Brussels in 1963. National reports had been made on both subjects for the Berlin Congress (21 on the first and 17 on the second). There were three general reporters for the first subject and two for the second one. These were Mr. Kurt Jezerich, Berlin, Mr. Strölin, Lord Mayor of Stuttgart, and Professor John Hilton of Cambridge, for unemployment, and Professor G. A. van Poelje, The Hague, and Mr. Fiehler, "Oberbürgermeister" of Munich, for culture.

Furthermore, there was also an exhibition connected with the congress, entitled "The German Municipality". No excursions were made, but the congress moved to Munich for its final days.

The speeches given at the congress, in which the theme was more than ever that of mutual understanding and friendship among the nations, reflect something of the tense international situation

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<sup>1)</sup> G. Montagu Harris, "Westward to the East. The Record of a World Tour in Search of Local Government", Brussels and London, 1935.

G. Montagu Harris, "Comparative Local Government", Hutchinson University (Politics), London, 1948.

prevailing in 1936. There are two other striking things about this congress: the large number of Germans taking part in it, some 150 of whom were "guests of honour" (at least on paper, there is no evidence whether or not they really attended the congress) and the fact that at the end of the congress proceedings an extract was given from a number of press accounts of the congress in foreign newspapers, in which the "German Municipality" exhibition received special praise.

#### *1936-1939*

The congress at Berlin and Munich was the last activity to be held by the Union before the war. A limited conference was to have been held at Liège in September 1939, in connection with a "Hydrological Exposition" in that city and would have been the "International Conference of Inland Ports". However, it was cancelled when war broke out. The programme also included a congress in Budapest in 1940, where inter alia the subject of the financial relationship between the central government and the municipalities was to have been considered.

For the more technical conferences held in the years between 1924 and 1929, we refer to the list of congresses and conferences included in the appendix.

## CHAPTER IV

### RE-ESTABLISHMENT AND RE-ORIENTATION AFTER THE SECOND WORLD WAR. CONFERENCES IN 1946 AND 1947.

During the Second World War, as during the First World War, the Union was of course unable to continue its activities. With regard to this period, we read the following in a report from Mr. Vinck to the 1947 Congress in Paris (also referred to below):

"During the war, although cut off from the world, the international centre in Brussels was able to continue its existence, thanks to the hospitality and material aid received from the Union of Belgian Towns, which in turn was supported by those among the central Belgian administration who, despite the occupation, favoured our cause. At the same time, our friends in America promoted the intermunicipal idea by developing a Pan-American centre at Havana".

The "Centre Pan-Américain, La Havanna", the secretary of which was Mr. Carlos Morán, was indeed the "address" of our international organization during the war, though in a more or less symbolic fashion. Directly after the liberation, the centre in Brussels was able to resume its activities on a modest scale. (Meanwhile the secretariat of the Inter-American Municipal Organization, under the management of Mr. Carlos Morán, continued to be established at Havana until 1959. It now has its headquarters at San Juan, Puerto Rico, and a bureau in Washington).

#### *The Conference at Brussels in 1946*

Thanks to the untiring activity of Mr. Vinck (who soon received financial support from a number of national unions, namely from France, Great Britain, the United States, Switzerland and The Netherlands), it was already possible to hold a limited conference at Brussels in 1946.

At this meeting, 12 unions or national committees were represented ("some having survived the war, others being reborn out of their ashes") and there were 120 participants in all. This was not a very large number, but it was at least a beginning of renewed international contact. Such contact was resumed more quickly after the Second World War than it had been at the end of the First World War, although only a limited number of countries was represented at the 1946 meeting, whereas the Congress at Amsterdam in 1924 had been attended by representatives from towns in

all belligerent countries. But as Mr. Vinck stated in his convocation, Brussels was intended to be no more than "a primary international conference, in the course of which we shall examine conditions for resuming the activities of our International Union and exchange views on certain questions which, in the course of the war and subsequently, seem to have a very special importance".

These subjects were: municipal autonomy, the part played by the municipality in civic education, and the tasks of the municipality in reconstruction. The secretariat had sent round a memorandum on the first two subjects. The memorandum regarding the part played by the municipalities in civic education contains an interesting passage in which Mr. Vinck states that he attended the first meeting of the newly created UNESCO in London in 1945, at which he and the Belgian Minister of Education (*Instruction Publique*), M. Auguste Buisseret, submitted a joint memorandum in which they referred to the resolution of the Assembly of the League of Nations adopted in 1924 but which had had no practical effect; the memorandum expressed the hope that the co-operation achieved this time, with UNESCO, would prove more effective.

Mr. Vinck had also been in contact in London with Mr. Herbert Emmerich, the director of the Public Administration Clearing House in Chicago, and had discussed with him plans for co-operation between UNESCO and the three organizations established in Brussels (the International Union, The International Institute of Administrative Sciences and the International Federation for Housing and Town Planning).

Although UNESCO, which had just come into existence, was not yet able to consider these proposals, it nevertheless goes to show how the Union tried to establish bonds with international governmental organizations again immediately after the war. And, as we shall see, these attempts did indeed take shape in the post-war years.

A few countries sent in reports on the three subjects for the congress put forward by the secretariat and discussions went on for four days. These took place partly in the small circle of this first conference and partly together with the delegates at a "regional conference" of the International Institute of Administrative Sciences, which was held in Brussels simultaneously. The joint discussions covered "civic education" and "local autonomy".

However, the various subjects were treated on a more or less provisional basis and appeared on the agenda again at the Paris Congress in 1947. The most important thing about the 1946 conference was that contact had been re-established — at least among the 12 countries represented at the conference — and that it was



decided, with the help of the national unions, to build up the Union again and, if possible, to hold a big Congress once more in 1947.

#### *The Congress of Paris in 1947*

The Union did indeed succeed, between the summer of 1946 and that of 1947, in obtaining sufficient contacts to enable it to organize a congress in Paris in July 1947, at which 23 countries were represented. As we have already stated above, the subjects put forward at this congress were the same as those dealt with in Brussels in 1946. And indeed, they were of great importance, particularly in the post-war period, added to which the fact that far more countries were represented in Paris constituted ample reason, from that point of view too, for again submitting them to consideration.

One of the most interesting documents of the Paris Congress is the "Report to the General Assembly" by the Secretary-General (from which much of the foregoing is quoted). Apart from describing the state of affairs inside the Union itself, it also gives certain information regarding the member unions and expresses the hope of establishing more contacts with a number of European countries (inter alia the Scandinavian countries) and with the countries of Central and South America. Apart from UNESCO, the Union also hoped to establish bonds with the United Nations and the Economic and Social Council. The bonds with UNESCO had already grown stronger, as also appeared from the fact that the Paris Congress was held in the UNESCO building (the old building in the Avenue Kléber) and that some of UNESCO's staff assisted at the congress. All the same, reconstruction of the Union after the war was still a difficult problem and Mr. Vinck appealed urgently to all "towns and other local authorities" and their organizations to rebuild the Union and above all to make possible the distribution of the "considerable documentary riches" available at the Brussels office.<sup>1)</sup>

#### *Meetings of the Bureau in 1947 and 1948*

This problem of bringing the Union into action again after the Second World War was dealt with several times subsequent to the

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<sup>1)</sup> The reports of the congresses at Brussels (1946) and Paris (1947) were not published in a single volume. A number of documents were, however, included in "L'Administration Locale" ("Local Administration"), which appeared in a loose-leaf edition at irregular intervals again between 1946 and 1948.

Congress of 1947 at meetings of the governing body of the Union, the "Permanent Bureau". At a meeting held in Brussels in November 1947, Mr. Vinck suggested, inter alia, that the Union should be put on to a broader basis by also admitting individual towns as members, more or less on an equal footing with the national unions on which, particularly since 1925, the International Union had relied for support. It would only be necessary to lay down in the Statutes the relationship between individual towns and national unions in any particular country. Mr. Vinck expected that such a measure would result in a new revival of the Union and the meeting decided to submit an amendment of the Statutes to this effect to the following General Assembly.<sup>1)</sup>

Great results were also expected of a propaganda campaign among the national unions, most of which were still more or less in process of reconstruction themselves following the war, inviting them to assist in building up the Union anew.

The United States, where Mr. Arkema, director of the Union of Netherlands Municipalities, was to go on tour, was also to be asked to co-operate in a larger measure with the Union. In principle, it was agreed to hold a conference and a general assembly at Geneva in 1948, and a congress at Prague in 1949. (The conference at Geneva was held in 1949 and the congress at Prague was cancelled).

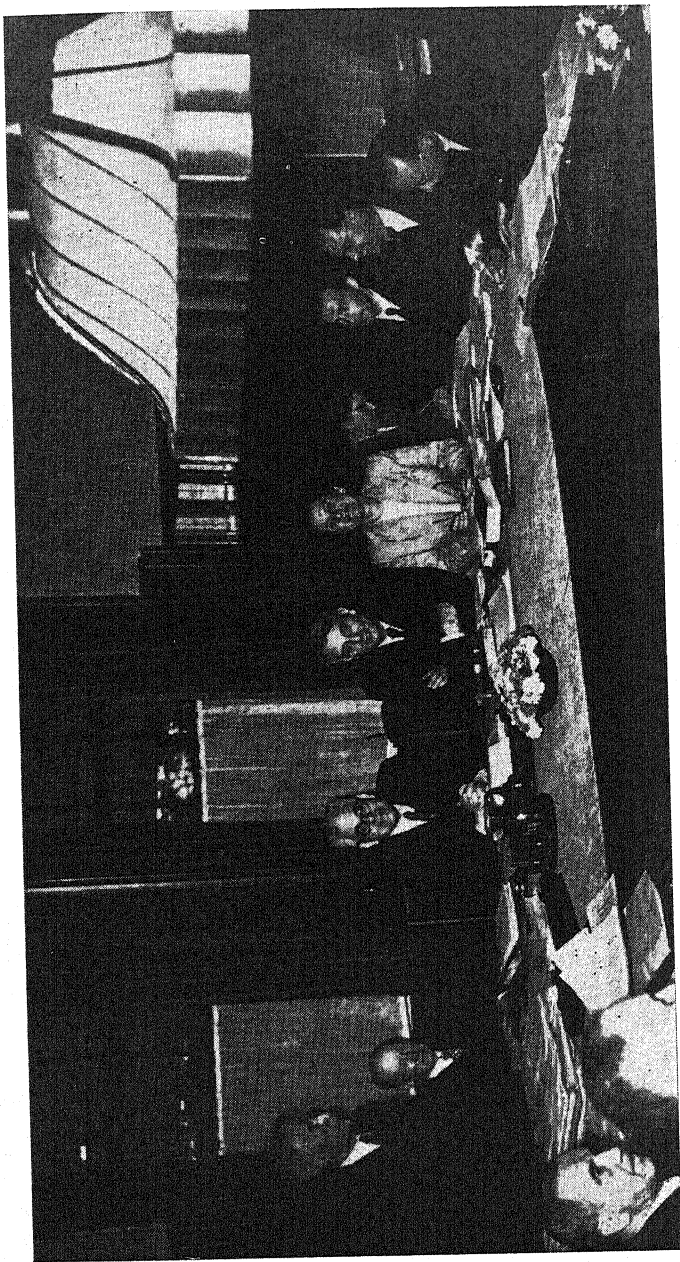
Unfortunately, the propaganda campaign was not as fruitful as had been expected. From discussions held by Mr. Arkema in Brussels after he had been in contact with various national unions and after his American tour, the plan first emerged whereby the activities of the Secretariat would be carried out partly in Brussels and partly at The Hague, at the headquarters of the Union of Netherlands Municipalities.

When these plans were worked out further, however, many practical difficulties were encountered, so that Mr. Vinck finally suggested moving the entire secretariat to The Hague. Mr. Arkema would then bear complete responsibility and would take his place as Secretary-General.

Mr. Vinck's proposal was adopted unanimously at a meeting of the Permanent Bureau held at The Hague in September 1948. Since Mr. Montagu Harris had expressed the wish to resign in view of his age, a new president was elected to take his place. Mr. P. J. Oud, Mayor of Rotterdam and Chairman of the Union of Netherlands Municipalities.

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<sup>1)</sup> This amendment of the Statutes was adopted by the General Assembly at Geneva in 1949.



*Transfer of the Presidency and the Secretariat in 1948.  
From left to right, in the background, Messrs. Vinck, Montagu Harris, Oud, Arkena and Miss Revers.*

To replace Mr. Léon Wouters, who had been for many years Assistant-Director of the Belgian Union and Assistant Secretary-General of the International Union, Miss H. J. D. Revers, LL.D., Assistant-Director of the Union of Netherlands Municipalities, was elected Assistant Secretary-General of the Union.

Thus the Secretariat of the Union, which had had its headquarters in Belgium since 1913, was transferred to The Netherlands. "We pass the torch on to you, keep it burning", were the words spoken by Mr. Vinck to Mr. Oud and Mr. Arkema on this occasion. It was indeed a historic moment when the two men who had done so much for the Union, its President, Mr. Montagu Harris, and its Secretary-General, Mr. Vinck, "passed on the torch". And everybody felt it was a matter of course that they should both be elected honorary presidents of the Union.

Mr. Vinck attended the Congress at Geneva in 1949 and the speech he made there was received with great applause. He died in 1950, a few days before his 80th birthday.

Mr. Montagu Harris, who was prevented by illness from attending the Geneva Congress, was present at Brighton in 1951, where he delivered an impressive speech in commemoration of his friend Emile Vinck. Unfortunately Mr. Harris, too, died shortly afterwards.

## CHAPTER V

### THE PERIOD 1949-1963

After the establishment of its secretariat at The Hague, the IULA displayed a rapid and extensive development. It expanded its activities considerably and no longer confined itself to organizing congresses and collecting and publishing documentation material. Geographically, too, it extended its field of operation, which had originally been limited to Europe and North America.

Partly for this reason, we shall treat the most recent history of the Union in a different manner from its history prior to 1940, in which we mainly described the congresses at some length. Moreover, if we were to give such an extensive description of the conferences held since 1949, it would be liable to become a rather monotonous list, since they have been held regularly every two years. And finally, all congress documents for this period — unlike those for the period before 1940, which are comparatively rare — are available in many countries (and obtainable from the IULA secretariat).

For all these reasons, we shall deal with the period 1949-1963 on the basis of the following classification of the Union's activities:

1. Congresses and conferences;
2. Special committees and study conferences (seminars);
3. Periodicals and other publications;
4. Special studies (research);
5. Contacts with governmental and non-governmental organizations (UN, UNESCO, WHO, FAO, Council of Europe, UNICEF);
6. Regional activities in Asia and Africa, Intermunicipal Technical Assistance;
7. Documentation. Inquiries. The establishment of contacts between towns, etc.

#### 1. *Congresses and Conferences*

Thus, again we start with the congresses which, despite everything, still remain the highlights in the existence of our organiza-

tion. The resulting benefits of such events might be the subject of lengthy discussions. This is particularly relevant with respect to the post-war congresses at which, apart from a few exceptions, no recommendations, decisions or resolutions were adopted. However, the author of this history is convinced that the IULA congresses are very important, even if they produce no direct tangible results. Apart from the fact that the theoretical study of comparative municipal law is furthered by the reports received from a large number of countries on a certain subject, many of the participants at the congresses will have received new ideas in the course of the years, which will have contributed to finding a practical solution for a certain problem in their own country. But at the same time, we firmly believe that contact between participants at the congresses can form a very valuable contribution to mutual understanding among the nations, especially as municipal authorities have many problems in common and so, in a certain sense, are anxious to try to understand one another.

#### *Geneva, 1949*

The first conference of this period was at Geneva in 1949 where the system of "main subjects" and "subsidiary subjects" was followed for the first time. This distinction meant that, regarding the "main subjects", national reports based on a questionnaire and a general report were sent round to the participants before the congress, whereas on the subsidiary subjects, only a spoken address was given, which might or might not be based on a number of national reports. The main subjects of the congress were The Problem of Housing and The Prevention of Road Accidents — two themes that were not only of topical interest at that time, but which still are. The former has meanwhile become somewhat less acute in many countries, the latter, on the other hand, has grown more critical almost everywhere. <sup>1)</sup>

An important event which occurred at Geneva was that during the General Council meeting the Swedish, Danish and Norwegian unions of local authorities, which had resigned from the Union some time before the war, rejoined the Union. Furthermore, the German and Italian unions became members again and

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<sup>1)</sup> For the titles of all the reports prepared for this conference, for the proceedings and for the names of the reporters we refer the reader to the appendix to this *exposé*, containing a list of all publications issued by the Union. The same applies to all other congresses and conferences dealt with in this chapter.

the newly established union of local authorities in the new state of Israel was also admitted as a member.<sup>1)</sup>

#### *Brighton, 1951*

The next meeting, which was called a congress again (the difference between conferences and congresses has never been altogether clear, particularly in post-war years), took place at Brighton in 1951. It had one main subject and one subsidiary subject. The main subject, Local Authorities and Education, was very comprehensive and the national reports on it were based on a very detailed questionnaire dealing with the entire organization of education in the countries concerned. It is obvious that such an extensive subject as Local Authorities and Education could not be disposed of at one congress; moreover, there were found to be many points on which it was immediately considered that further study would be required. So the Congress of Brighton decided to continue the study of this subject. The Education Committee, the first of the special IULA committees, which will be dealt with below, was established as a result of this congress.

#### *Vienna, 1953*

The Congress at Vienna in 1953 had a more general theme as its main subject, namely The Large City and the Small Municipality — Their Strength and Their Weakness. As the title implies, the idea was to compare the two sides of the large and the small municipality, the advantages and disadvantages attached to both. Accordingly, there were two reporters, one for the big municipalities and one for the small municipalities. The Vienna Congress bore a festive character, for it commemorated the 40th anniversary of the Union. It was also the first Union congress to be honoured by having the Head of State of the host country present at its inaugural meeting. Moreover, Dr. Theodore Körner, President of the Federal Republic of Austria and former Mayor of Vienna, addressed the congress in an official opening speech.

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<sup>1)</sup> As already stated in a previous chapter, new Statutes were also adopted at Geneva, and a new governing body elected.

The provision whereby the Union had its headquarters in Brussels was of course deleted on this occasion. It was laid down that the General Council should decide where the Union was to have its headquarters. (It was decided at Geneva that it should be at The Hague). By a later amendment to the Statutes in 1957, the provision whereby the headquarters of the Union were at the Hague was included in the Statutes themselves. On the same occasion, the Union was constituted as a union under Netherlands law, so that in accordance with Dutch law, Royal Consent to its new Statutes was applied for and obtained.



As already noted above, the Congress of Vienna again gave attention to the national unions of local authorities. Indeed, the national unions even formed one of the subjects of the congress, on which a report was made, based on an inquiry held by the IULA secretariat. This was published by the IULA in book form in 1956, and included supplementary information received after the congress.

A further novelty in Vienna was the "panel discussion" on the work of the United Nations, especially the "technical assistance programme", held by a member of the UNESCO staff (M. Guy de Lacharière) and Professor Charles S. Ascher of Brooklyn College, New York, who had meanwhile been appointed the Union's representative at the United Nations. This "panel discussion", which was followed by a general discussion, was a successful attempt to acquaint the members of the IULA with certain aspects of the work of the United Nations and to investigate in what manner the IULA and its members could co-operate with it. (We shall return to this subject later).

The Vienna Congress ended with a ball in the Town Hall Square. This not only emphasized the 40th anniversary of the IULA, but the musical tradition of Vienna.

#### *Rome, 1955*

At the Congress at Rome in 1955, the main subject was Local Government Finance and its Importance for Local Autonomy. Prior to this congress, a volume of nearly 400 pages had appeared which included, apart from national reports from 24 countries, an analytical survey of these reports. This book is still an important source of comparative municipal law. In his closing remarks the general reporter, Dr. V. Pertusio, Mayor of Genoa, drew up a number of recommendations which, although they could not be regarded as formal conclusions of the congress, were at least a recapitulation of the views that had been put forward by municipal circles on the subject of municipal finance and its importance for local autonomy. One of these recommendations, namely that concerning the need for national institutions to provide credit facilities to local authorities, has been one of the factors leading to the establishment of the International Information Centre for Local Credit, whose headquarters are located in The Hague.

Within the framework of the Congress of Rome a "European Day" was held for the first time, a day on which discussions were held on subjects of eminent importance to European local authorities, namely "The Representation of Local Authorities in European

Institutions", and The International Contacts of Municipalities". Written reports had been submitted beforehand on both subjects.

A special event that occurred during the Rome Congress was the audience granted by His Holiness Pope Pius XII to all members of the Congress. On this occasion, His Holiness made a speech in which he pointed out inter alia the positive part which local government authorities can play in promoting better understanding among the nations, not only inside Europe, but outside as well.<sup>1)</sup>

#### *The Hague, 1957*

The following Congress took place at Scheveningen and The Hague, the headquarters of the IULA, in 1957.

At it, Problems of Urban Expansion, Traffic Congestion in the City Centre and The Development of Community Life in Rural Areas were dealt with under the collective title: Town and Country. In choosing these subjects, problems had been sought that concern both urban and rural municipalities, and for the two latter subjects the congress had been divided into two sections: one for the delegates from towns and the other for delegates from rural municipalities. However, this arrangement was not a success, since by far the greater majority of those attending the congress held the opinion that the congress offered a good opportunity for representatives of both kinds of municipalities to become acquainted with each other's problems!

Incidentally, it is interesting to note that the traffic problem, which had also been dealt with at Geneva in 1949, appeared on the agenda again eight years later, this time under a different title: in 1949 it had been "The Prevention of Road Accidents" and in 1957 it was "Traffic Congestion". The title of the speech made by Professor Lewis Mumford, Professor at the Massachusetts Institute of Technology, "Control of Urban Explosion", was also significant.

At The Hague, too, a European Day was held, devoted to various problems facing the municipalities as a result of European economic integration. The addresses mainly concerned the European Coal and Steel Community (the treaties of Rome had not yet come into force) and the meeting was addressed by a member of the High Authority of the E.C.S.C., Mr. D. P. Spierenburg.

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<sup>1)</sup> The written reports and the spoken addresses and discussions held on the European Day were published in a separate booklet, together with the Pope's speech.



*M. le Prof. P. J. Oud,  
ancien bourgmestre de Rotterdam,  
Président de l'UIV de 1948—1960,  
à présent président d'honneur.*



*Sir Bertram Galer,  
M.A., F.J.A., D.L., J.P., L.C.C.,  
Vice-président d'honneur de l'UIV.*

In the varied procession of congresses and congress subjects, we now come to the Congress of Berlin in 1959, which was entirely devoted to the social activities of the municipalities. The subjects dealt with at this Congress were Local Services for Young People and Care of the Aged. Here again we find a typical example of subjects which, while they were not new, nevertheless were a sign that accents in municipal activities were shifting. For the care of young people and of the aged are municipal concerns that have assumed greater proportions and more importance since the Second World War than they had had in the period preceding it. Regarding Local Services for Young People, a substantial volume was again published, containing 26 national reports and a general report. On the second subject, Care of the Aged, only a short extract from the national reports was published.

Two special meetings were held at Berlin, one devoted to affairs of a specifically European nature and the other devoted to the specific problems of municipalities in Asia and Africa. The theme of the European Day, as the first meeting was again called, was Education for Europe. Discussions on this subject, which had already been studied by two of the Union's committees, the Education Committee and the European Affairs Committee, were opened by an address given by Mr. Lodovico Benvenuti, Secretary General of the Council of Europe. After a panel discussion, chaired by Mr. Willy Brandt, Burgomaster of Berlin, a number of recommendations were adopted regarding the part that local authorities can play in educating their citizens in the European idea, both in and out of school. Among these recommendations was also one which called for the celebration of a fixed European Day each year.

The special meeting held on municipal problems in Asiatic and African countries was a direct result of the increasing contacts of the IULA with the countries of those continents, a phenomenon that had started some years after the war. Thus, there were representatives from towns or institutes in India, Indonesia, the Sudan and Japan present at the Congress of Vienna in 1953. An important delegation from Thailand was present for the first time in Rome in 1955, and the number of representatives from non-European countries — particularly from Asia — increased steadily at congresses held subsequently. Such participation in a congress usually led to membership in the IULA.

The Africa-Asia Day held in Berlin in 1959 was presided over by the Lord Mayor of Bangkok, Dr. Chamnan Yuvapurna. The speakers were: the President of the All India Federation of Local Authorities, Dr. L. P. Khare; the Director of Local Government of the Sudan, Mr. Ali Hassan Abdullah; and the Deputy Director of the Office of Public Administration of the United Nations, Mr. F. J. Tickner. The report on this Africa-Asia Day, which was also attended by a large number of European and American delegates, includes not only the speeches of the said reporters, but also those of a number of other representatives of Asiatic and African countries. It is an important report, not only because of its contents, but also because it is a lasting reminder of one of the milestones in the history of the Union.

#### *Tel-Aviv, 1960*

Another milestone, which likewise underlines the fact that the IULA developed more and more contacts outside Europe between 1950 and 1960, was the Congress at Tel-Aviv in 1960. It was, in fact, the first time in the existence of the Union that a congress had been held outside Europe, and it was a source of great satisfaction to the Union that, despite the fact that the large majority of member unions (and towns) have their headquarters in Europe or are situated there, the Tel-Aviv Congress — like the conference held at Washington in 1961 — had a large number of participants and was in every way a success.

In view of the fact that the congress at Tel-Aviv took place fairly soon after the one held at Berlin, the system of national reports from a large number of countries was not followed. There was one subject, The Tasks of Local Authorities in Development Areas; this subject was sub-divided into three parts, and two reports were written for each sub-heading, one on a European country and one on a non-European country. There was a report from France and one from Ghana on Rural Development; one from Great Britain and one from Japan on International Development; and one from India and one from Italy on Social and Cultural Adaptation of the Population. Moreover, the Mayor of Haifa, Mr. Aba Koushy, reported at length on Israel, "a classic example of a developing state".

On the subject of the Tel-Aviv Congress, of which, as usual, both the preparatory reports and the proceedings were published in book form, we must further mention that at the end of the

Congress a resolution was adopted, whereby the Executive Committee was invited:

"to encourage and stimulate IULA's activities in the establishment and development of international municipal relationships, especially by furthering links of friendship and mutual help between local authorities in older, richer and more highly developed countries and those in newer, weaker and poorer ones."

It was following this resolution that the Union started its activities in the field of intermunicipal technical assistance, which we shall deal with later.

Finally, an important event in the history of the Union took place at Tel-Aviv, namely the resignation of Professor Oud as chairman, a function he had held since 1948. Mr. A. Spinoy, at the time Mayor of Malines and President of the Union of Belgian Towns, now Belgian Minister of Economic Affairs and Energy, was elected his successor. The new president made a speech in which he reviewed the outstanding service of Mr. Oud during the period of the Union's reconstruction from 1948. Mr. Oud was unanimously elected Honorary President of the Union.

#### *Washington D.C., 1961*

A congress was held outside Europe for the second time in 1961, at Washington D. C. Here again, in view of the short time in which it had to be prepared, the normal system of national reports was abandoned. The preparatory reports were all from representatives of the United States, and the arrangement was that in the discussions at the congress experiences of the United States were to be compared with those of other countries. This did, in fact, take place, and the proceedings of the congress were published in the form of booklets, each containing the addresses and discussions on one of the congress subjects. The preparatory reports appeared in one volume, under the title: "Local Government in the United States". Although this publication is of course far from all-embracing, it nevertheless gives a clear survey of a number of aspects of local government in the U.S. The *exposés* on Organization and Structure of Local Government in the United States and Metropolitan Areas, in particular, are of great importance on account of the insight they give into the leading municipal problems in the U.S. At the first working meeting of the congress two representatives, one from a big city in Europe and one from the United States, came forward to give a general survey of the main problems

in their towns and of local government in their countries. They were Mr. Robert F. Wagner, Mayor of the City of New York, and Mr. G. E. van Walsum, Burgomaster of Rotterdam.

At the Washington Congress a number of specific subjects of more "technical" importance were dealt with in small working groups of 50 to 100 persons: one of the methods used to improve the "technique" of the big post-war congresses, and thereby produce better results.

The increasing interest in the IULA and its congresses on the part of representatives from municipalities in developing countries, already briefly alluded to above, was also noticeable in Washington. More than 50 countries were represented here, including a considerable number from Asia, Africa and Latin America.

#### *Brussels, 1963*

To conclude this section on congresses, we may mention that the 50th anniversary of the Union is to be celebrated in Brussels, the capital of Belgium, the country where it was founded, and that the programme will include a pilgrimage to Ghent. The subject of this congress, "Local government in the XXth Century" is intended to be a review of the first half of this century and an attempt to see into the future.

#### *2. Special Committees and Study Conferences (Seminars)*

The idea was conceived after the war of forming special committees within the Union, as is often done in the national unions. These committees, which would consist of experts in a certain field or persons interested in certain material, would have the opportunity of studying certain subjects more thoroughly, both by examining them more extensively and by discussing them in greater detail than is possible at a congress. So far, only the three committees mentioned below have been created, but it is intended to increase this number for many people are convinced that although these committees (which usually have no more than 10 to 20 members) are less conspicuous than the Union's big congresses, they nevertheless do very useful work. Various studies made by the committees (reports on which are usually printed or stencilled), form a valuable contribution to the knowledge of certain problems and will certainly contribute to their practical solution. Moreover, some of these studies have led to study conferences being held with a limited number of participants (usually 20 to 40), at which a



subject is dealt with in a somewhat wider, though still limited circle.

The fact that the special committees consist of a small number of experts in a certain field has, moreover, resulted in their becoming the obvious organs for co-operation with some of the intergovernmental organizations with which the Union has entered into a "consultative status" since the war. Thus the Education and Cultural Committee collaborates with UNESCO and the Public Health Committee with the WHO, while the European Affairs Committee is concerned particularly with problems in the domain of the Council of Europe and the European Communities, and the Working Group for Wholesale Markets maintains contacts with the FAO.

It is impossible to deal with the work of the committees in full here. Information regarding their activities can be found in all the annual reports issued by the Union since 1950. We shall only mention the committees here and review the main subjects to which they have devoted their attention.

a. *The Education and Cultural Committee*

As already stated above, this body was set up as the Education Committee after the congress at Brighton in 1951, where the main theme was Local Authorities and Education. Since it was concerned not only with affairs directly connected with education, but also with affairs in the cultural field, its name was later extended to reflect its increased activities. Mr. W. G. Stone, Director of Education of the County Borough of Brighton (Great Britain), has been chairman of this committee since its establishment. After continuing its study on primary and secondary education systems for the first few years following its establishment, the committee then devoted its attention for several years to adult education, in consultation with UNESCO, from whom it also received assistance. A report on this subject by its president was dealt with at the congress at Rome in 1955. As a result, an extensive inquiry was despatched to 16 countries, which led to the publication in 1960 of a book called "The Concern of Local Authorities with Adult Education and Sport; a Comparative Study with Reports from 16 Countries".

The committee also devoted its attention to "Education for Europe" on which a three-days' study conference was held in 1959, in co-operation with the European Affairs Committee. The results of this conference were submitted to the Berlin Congress in



*Mr. N. Arkema,  
Secretary-General since 1948.*



*Miss H. J. D. Revers,  
Deputy Secretary-General  
from 1948—1961,  
Secretary-General since 1962.*

1959 (vid. supr.). The committee has recently devoted its attention to the task of local authorities in the field of sport and recreation and problems of the adjustment of youth to society. Eight-day study conferences were held on both subjects in 1961 and 1962 respectively, at the UNESCO Youth Institute at Gauting (Bavaria), with the much appreciated intellectual and material assistance of this Institute and of UNESCO itself.

b. *The Public Health Committee*

This committee, which held its first meeting in 1958, owes its existence directly to the IULA'S contacts with the World Health Organization, both with the Head Office in Geneva and with the European Office, which is now in Copenhagen. In the WHO (as, mutatum mutandis, in UNESCO), it was felt that many of the organization's activities really belonged to the work of the municipalities, with which the intergovernmental organizations have little or no direct contact. Accordingly, the subjects dealt with by the Public Health Committee were chosen in consultation with the WHO, and all its meetings were attended by representatives of this body. The subjects dealt with successively were: "The Fluoridation of Drinking Water and the Prevention of Dental Caries", "The Concern with the Individual in the Operation of Public Health Services" and "Local Authorities and Air Pollution". This committee, which is presided over by Professor A. Querido of Amsterdam University, has also issued a number of (stencilled) reports.

c. *The European Affairs Committee*

This committee, which was originally presided over by Mr. Ernst Koref, Mayor of Linz (Austria), and which since 1961 has had as its presidents Mr. Franz Jonas, Mayor of Vienna, and Mr. Kjell T. Evers, Director of the Norwegian Association of Local Authorities, was set up in 1953, during the congress at Vienna, and held its first meeting in 1954. One of the reasons for its creation was the establishment by the Consultative Assembly of the Council of Europe at Strasbourg of a "Special Committee for Municipal and Regional Affairs" (since called "Committee on Local Authorities") which was to study matters under consideration by the Consultative Assembly at Strasbourg which also had a bearing on the interests of municipalities. When, as from January 1957, a Conference of Local Authorities was held in Strasbourg every two years, there was all the more reason for the European unions of local authorities belonging to the IULA and represented

in the European Affairs Committee, to study the subjects dealt with at the Strasbourg meetings within the framework of this IULA committee.

The establishment, first of the European Coal and Steel Community and then of the Common Market and the European Atomic Energy Community, has brought new problems for the municipalities and new tasks for the IULA. The implementation of the Treaties of Paris and Rome meant that in a number of fields of municipal importance regulations were made or prepared which affected the interests of local authorities. Since such regulations are directly binding for citizens and governmental bodies in member countries, a situation was created whereby the IULA had to take over at a European level one of the classical tasks of the national unions of municipalities — the representation of municipal interests in the national governments — in several fields. Measures were taken to make efficient representation of municipal interests in organs of the European Communities possible via the IULA and to keep members of the IULA advised regarding the activities of these organs in fields of municipal importance.

The European Affairs Committee has also dealt with questions having no direct connection with the activities of the various organs of the European institutions. We have already mentioned its study, together with the Education and Cultural Committee, of the problem of "Education for Europe" and its preparation of the recommendations adopted on this point on the European Day of the Berlin Congress in 1959. Moreover, it also carried out the preparations for the European Days at the other IULA congresses (Rome, 1955, The Hague, 1957). At the latter meeting, economic and social problems encountered by the municipalities as a result of European economic integration were dealt with in a panel discussion.

d. *The Working Group for Wholesale Markets*

The Working Group has a slightly different character from the special committees of the IULA. A group of directors of municipal wholesale markets in Italy, The Netherlands and Germany, who had already twice organized a congress of representatives of wholesale markets, applied to the IULA in 1957 requesting them to establish the group as a "working group" belonging to the IULA, and to allow its congresses to be held under the auspices of the IULA in future. This request was granted by the IULA in principle, but it took the Union some time to find the appropriate

form and contents for the Statutes of the Group. It was extended to include representatives from wholesale markets from a number of other countries, received its own governing body and held a congress at Milan in 1960 as a "working group" belonging to the Union. Another Congress of Wholesale Markets is to be held in 1963, at Lyon (France). The group maintains contact with the FAO (Food and Agriculture Organization of the United Nations), which is naturally interested in the organization of wholesale markets and the numerous problems connected therewith.

### 3. *Periodicals and Other Publications*

In the same way as it had done during former periods of its existence, the IULA again felt the need after 1949 of publishing its own periodical, so that it could keep its members informed of the most important problems and their solutions in the municipal field in other countries.

As from July 1949, a bilingual journal was issued (in French and in English), the "IULA Bulletin" or "*Bulletin de l'UIV*", which, besides a few main articles, also included shorter notices, among them news concerning the IULA itself and its member unions. As far as the latter were concerned, therefore, the "IULA Bulletin", which was published every three months, continued the tradition established by the paper called "*L'Administration locale*", which had existed up to the middle of 1948. As from 1953, the bulletin appeared in three different editions, in French, English and German. In 1955, the situation was slightly altered and the name was changed to "IULA Quarterly" ("*Cahiers de l'UIV*", "*IGV Hefte*"). More space was given for longer articles and, at the same time, a short stencilled paper was issued (also in three languages), giving short news reports on current municipal events. The latter paper ("*Nouvelles de l'UIV*", "*IULA Information*", "*IGV Korrespondenz*") appeared at irregular intervals, four to six times a year.

Although many people felt that this arrangement kept members well supplied with news, the publication of two different periodicals in three languages was found to be beyond the financial capacity of the IULA. Moreover, it was found that many readers were already overburdened with publications from their own and other countries and would gladly have less to read. Thus, a re-organization took place as from January 1961, which at the same time cut down the number of periodicals of previous years. A magazine was issued called "Local Government Throughout the

World", which came out five times a year and which again included not only a few main articles but also a number of shorter and more topical news reports, which as usual concerned all parts of the world, as far as possible. This magazine was published only in English and extracts from it were issued in the form of stencils in French and German (under the titles: "*Nouvelles de l'UIV*" and "*IGV Nachrichten*"). This system has now (at the beginning of 1963) been in operation for three years. The fact that within the short time between 1949 and 1963 the set-up of the IULA periodical was altered comparatively frequently proves that today it is still — as it was before the war — a difficult task to find the right kind of publication which provides members of the IULA with important news as efficiently as possible and maintains contact with them, while at the same time not surpassing the IULA's financial powers.

Since January 1958, a list of books received by the IULA library has been issued six times a year under the title "Bibliographia". In addition to the titles, a short description of the contents of each book is given, wherever necessary. This publication, which is distributed not only among the general members of the IULA, but also among a large number of libraries and scientific institutes throughout the world, has proved to be of great value, by no means in the last place for the IULA's contacts with such institutions.

Besides these periodical publications, the IULA publishes various kinds of books from time to time, in the first place, congress reports, and in the second place, reports from committees or study conferences, which we have already mentioned above. (A complete list of publications has been added to this brochure in the form of an appendix). Lastly, we should mention that since 1950, Messrs. Martinus Nijhoff of The Hague have acted as publishers for the Union's books.

#### 4. *Special Studies (Research)*

As is evident from the foregoing paragraphs, many studies are made at the Secretariat or by the Secretariat in connection with congresses, meetings of special committees, study conferences, etc. Such studies usually result in the publication of reports.

After 1950, the Union was also commissioned several times by other bodies to undertake extensive studies in the field of comparative municipal law. These studies, which were partly based on documentation available in the Union library and partly on

information that had to be asked for from all parts of the world, were always carried out under the auspices of the Secretariat. Moreover, in a few cases the IULA has profited in this work from the assistance of outside experts.

The first commission came from the UNESCO, which asked the Union to make and report on an inquiry into the structure and activities of local authorities in a large number of countries. After a questionnaire had been drawn up in co-operation with the relevant section of UNESCO, it was sent round to all the countries in the world and the results were collected and dealt with by the IULA Secretariat in the years 1955-'56.

On the basis of these results, four countries were chosen for a more extensive study of municipal law, for which IULA obtained the collaboration of experts in the countries in question. These studies, which were published by UNESCO in the French series "Monographies sur les systèmes de gouvernement local" ("Monographs on Systems of Local government"), included Brazil (by Mr. Diogo Lordello de Mello), Sweden (by Mr. Arne Wählstrand, Ph. D.), Thailand (by Mr. Malai Huvanandana, Ph. D. and Mr John W. Ryan) and Tunisia (by Mr. Mohammed Snoussi).

At the same time, the material for the entire inquiry was worked on at the Secretariat of the Union by two research fellows from the United States who were employed there at the time, Mr. Samuel Humes and Miss Eileen M. Martin. Their work led to the publication in 1961 of a book entitled "The Structure of Local Governments Throughout the World" by Samuel Humes and Eileen M. Martin (publishers Martinus Nijhoff, The Hague).

The second commission came from the Public Administration Division of the United Nations, which wished to have a study made on "Central Government Services to Local Authorities". The commission for this study was given in 1958, and its aim was described as follows:

"The study would aim to describe various distinctive systems of central-local relations, to define common problems of local governments and to analyze the services rendered to local governments under each system by higher levels of government and by national associations of local bodies and research institutions. The study would try to offer conclusions about methods of increasing the capability of local government to render effective services in rural as well as in urban areas."





*Signs for the various countries during one of the congresses.*

This study was undertaken on behalf of IULA by Dr. W. Hoven, former Director of the Interior in the former Netherlands East Indies, who was assisted by Mrs. A. van den Elshout-Adema van Scheltema, Master of Laws, Leyden and Harvard Universities. The study was finished and sent (in stencilled form) to the United Nations on October 1, 1962. It is composed of four parts, one of which contains some selected country reports (Japan, Ceylon, Israel, Brazil, Yugoslavia). In part III, the description of the rôle of the national associations of local authorities was prepared by the IULA Secretariat. Furthermore, this part contains an *exposé* on municipal credit banks, prepared by the above-mentioned International Information Centre for Local Credit whose headquarters are situated at The Hague (and with whom the IULA maintains close contacts).

The report, offered by IULA to the Division for Public Administration of the United Nations, will be used by the United Nations as a working document for a number of seminars to be held in different parts of the world. It has not been published up till now.

#### 5. *Contacts with Governmental and non-Governmental Organizations*

Mention has been made several times of the attempts of the Union to establish contact with the League of Nations. We remarked then that although the League of Nations had recognized the significance of the Union in a resolution of the Assembly in 1924, no actual co-operation was achieved, probably because the appropriate form could not be found for it.

This changed after the Second World War. Both by means of the "Specialized Agencies" and by means of the ECOSOC (Economic and Social Council), the United Nations was able to enter into direct contact with so-called "non-governmental organizations", and by then a form had also been found in which this could be done, namely by granting the so-called "consultative status". In 1945, contact was made by the Union with the newly created UNESCO and the latter soon granted the Union a consultative status. There has always been very close co-operation with various sections of UNESCO, as we mentioned several times above (particularly in relation to the Education and Cultural Committee of the IULA).

Consultative status was also granted in the United Nations (ECOSOC), as well as in the WHO (in which recognition is called the granting of "official relations"). Something of the

practical co-operation with the WHO has been described in the section dealing with the Public Health Committee of the IULA. The contacts with the Secretariat of the United Nations in New York have been greatly intensified by the appointment of a standing representative of the IULA at the United Nations, which post has been held for many years by Dr. Charles S. Ascher, Professor of Political Science at Brooklyn College and Associate Director of the Institute of Public Administration, New York. Professor Ascher acts as intermediary between the relevant sections of the U.N. Secretariat and the Union, he continually reports plans and projects of one of the bodies that may be of interest to the other, and in this way he has already contributed in a large measure to co-ordinating activities and stimulating initiatives. It was also due to Professor Ascher's mediation that the first contacts with the WHO were established and that the existing contacts with the UNESCO were strengthened.

For the rest, numerous direct contacts also exist between the IULA Secretariat and various sections of the U.N. Secretariat in New York, and also with a number of Regional Offices, namely in Geneva (Europe), Bangkok (Far East), Addis Ababa (Africa) and Beirut (Near East). Reference should be made in this connection to section 6 of this chapter.

The Union recently obtained a consultative status in *UNICEF*. As stated above with reference to the Working Group for Wholesale Markets, contact now also exists with the FAO, though of course the latter has fewer points of contact with the municipalities than has UNESCO or the WHO.

Finally, since 1954, the Union has had a consultative status in the Council of Europe, with which, as stated above, the municipalities also have a number of points of contact through the Committee on Local Authorities of the Consultative Assembly and the Conferences of Local Authorities which are held every two years. The meetings of both bodies are attended by one or more observers from the Union.

As regards non-governmental organizations, although the Union has contacts with many of them, it is beyond the scope of this survey to mention them all here. We shall merely state that the Union still collaborates closely with the two organizations with which it has had close relations from the beginning of its existence — partly due to the fact that for a long time they both had their headquarters in the same city and even in the same building as

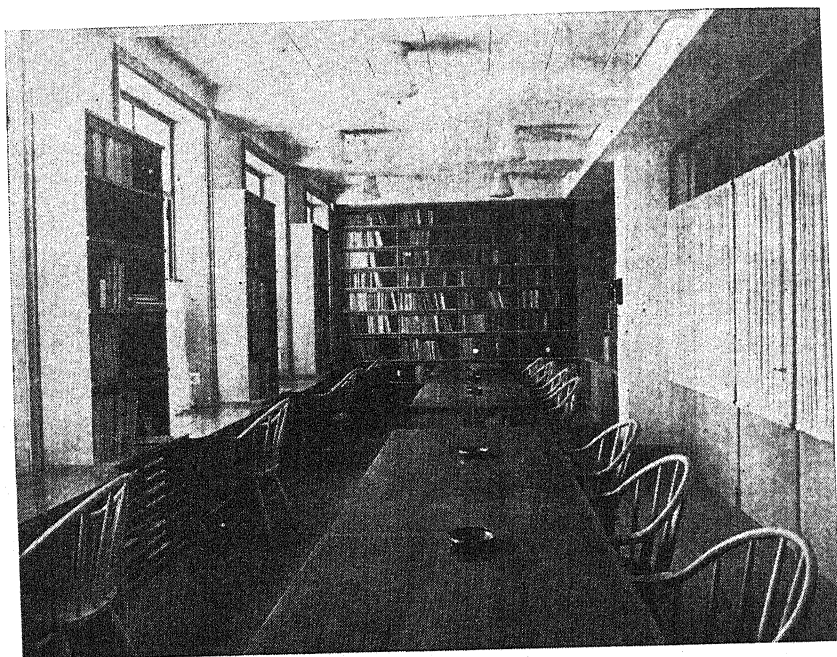
the Union — namely the International Institute of Administrative Sciences and the International Federation for Housing and Planning. This collaboration, however, is no longer based on a working co-operation (as was the case for some time, when the Union and the International Institute of Administrative Sciences together published the "*Tablettes Documentaires Municipales*", (Documentary Notes on Municipal Affairs), but is now of a more personal nature.

6. *Activities in Asia and Africa, Intermunicipal Technical Assistance Programme*

As has already been mentioned several times above, not only has the IULA seen growing interest shown by Asia and Africa in its activities, but the number of members from these continents has also risen considerably. In some rapidly developing countries local government is an old institution, in others it is comparatively new. But most of these countries are in the process of revising their system of local government and it is certainly the task of the IULA to provide whatever advice in this respect for which it is asked. This led the Executive Committee to appoint an ad hoc committee which was given the task of studying the possibility of IULA activities on a regional basis on the two continents. For however important all the other activities of the IULA may be to the local authorities in these countries, there are nevertheless special problems in the developing countries (as there are in the European countries), which could be dealt with at a regional meeting.

At this time, there are plans for regional conferences or seminars for South-east Asia and for Africa. These projects are being elaborated by the IULA Secretariat, in close co-operation with its members in the countries concerned and with the concerned sections of the United Nations.

Both in Asia and in Africa, the IULA has contacts not only with its members, but also with the regional offices of the United Nations: the Economic Commission for Asia and the Far East (ECAFE) at Bangkok (Thailand), the Economic Commission for Africa (ECA) at Addis Ababa (Ethiopia), and the Regional Social Affairs Office for the Middle East at Beirut (Lebanon). By attending some of the study conferences organized by these U.N. Regional Offices, the IULA Secretariat has also had the opportunity of extending its relations in those parts of the world. Furthermore, the Union also has good contacts with the Eastern



*Library of IULA in The Hague.*

Regional Organization for Public Administration (EROPA), of which Institutes of Public Administration and other institutions in a number of countries in the Far East are members. This organization has its Secretariat at Manila (Philippines), while the Indian Institute of Public Administration at New Delhi (India) is used as a training centre, and a Research Centre is established at Saigon (Vietnam).

Meanwhile, the IULA also wished to extend its activities to the local authorities in the rapidly developing countries in another way. Following the above-mentioned resolution adopted at the congress at Tel-Aviv in November 1960 regarding the desirability of mutual help among municipalities of different countries, the Executive Committee decided in April 1961, to try to set up an intermunicipal technical assistance programme. The Secretariat conducted negotiations on this matter with the United Nations and the Ford Foundation in the course of 1961 and 1962. The United Nations showed great interest in the plans of the IULA, which must undoubtedly be attributed to the fact that assistance in the field of local government may be considered an essential part of technical assistance as a whole.

The negotiations with the United Nations were crowned with success and IULA was able to launch, in co-operation with the United Nations, a three-year pilot programme for international technical assistance on a city-to-city basis. The programme provides for the sending of experts on missions and for the reception of senior fellows or groups of fellows. The fields in which assistance may be provided are mainly limited to those of public administration, housing and planning, social welfare, economic and industrial development, statistics, transport and public finance. IULA's task is that of an intermediary between the cities asking for assistance and those willing to provide an expert or to receive a fellow or a group of fellows. Once the preparations have been completed and the national government of the requesting municipality has given its approval, individual projects are incorporated into the United Nations' technical assistance operations.

The Ford Foundation has approved a grant to IULA for the three-year period of this pilot programme.

At the end of 1962 and the beginning of 1963 the first applications for technical assistance were received and dealt with.

7. *Documentation. Inquiries.*

*The Establishment of Contact between Towns, etc.*

It goes without saying that, as was also the case in earlier periods of its existence, the Secretariat of the IULA is a centre for documentation in the field of local government and in other related fields, although this aspect is stressed far less now than it was during the first decennia of the Union's existence. The entire library was built up anew after the war. Thanks to the publication of the bimonthly paper called "Bibliographia", a classified and annotated list of books in the IULA library which is sent all over the world, numerous books are borrowed on the one hand, while on the other hand numerous books are also presented to the library. In 1961, an international bibliography on the problems of metropolitan areas was published under the title "Metropolis".

Besides books, the library also receives nearly 200 magazines from all parts of the world, out of which the most important articles are recorded in a card index (documented). These books and magazine articles are the IULA Secretariat's most important source of information when they receive questions from their members concerning all kinds of affairs in the municipal and related fields. If there is insufficient information in the IULA library, inquiries are made in other countries, either through the Secretariat of the member union or through individual towns. The information thus obtained again forms a new accession to the library.

So it is not surprising that the IULA library is visited more and more, both by students at institutions of higher education — among which the Institute of Social Studies at The Hague occupies an important position — and by the many other visitors whom the Secretariat receives from all parts of the world.

From what has been said above, it is also clear that it is one of the daily tasks of the IULA Secretariat to reply to questions in the varying fields of local government theory and practice.

"To establish contacts between towns in various countries" — one might wonder why it is necessary to mention this as a separate activity of the Union, since everything the Union does has this aim in view. Indeed, all the Union's activities, not only its congresses and other meetings, but also, for instance, its publications, result in the establishment of closer bonds between



the towns of all countries. In referring to "the establishment of contacts between towns in various countries" we have two specific activities in mind, namely, in the first place the organization of visits by municipal authorities and officials to local governments in other countries and secondly, mediation in establishing a "sister-city" link between two municipalities in different countries.

The former is part of the normal work of the Secretariat, whereby it receives the much appreciated assistance of member Unions, who help to organize visits to towns in their country. They are usually visits in European countries from other continents, but it also frequently happens that local government officials from European countries wish to visit certain cities in other European countries for the purpose of studying a certain subject on the spot. In establishing a sister-city link (*jumelage*) it is a question of the Union granting mediation if it is requested to do so either by a national union of local authorities belonging to the Union, by another international organization, or by an individual town.

The scope of such sister-city links varies considerably and in many countries efforts are made to bring together large groups of the population, rather than confining contact to official visits paid by local government officials to each other's towns.

PUBLICATIONS OF THE INTERNATIONAL UNION OF LOCAL  
AUTHORITIES (IULA)

LES PUBLICATIONS DE L'UNION INTERNATIONALE  
DES VILLES (UIV)

1913 - 1963

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CONGRESSES AND CONFERENCES

CONGRÈS ET CONFÉRENCES

Ghent Congress 1913 Congrès de Gand

Premier Congrès Internationale et Exposition Comparée des Villes.  
I. Construction des Villes. — II. Organisation de la Vie communale. 4° 720 p.

Amsterdam Congress 1924 Congrès d'Amsterdam

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Proceedings of the Conference in Geneva. 8° 120 p. — Compte rendu de la Conférence à Genève. 8° 120 p.

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 Water Supply and Sewerage. 8° 160 p. — L'alimentation en eau et les réseaux d'égouts. 8° 161 p. (Gen. rep.-Rapp. gén.: *A. Achten*, Bruxelles).

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 The Large Town and the Small Municipality. Reports. 8° 239 p. — La grande ville et la petite commune. Rapports. 8° 251 p. — Die grosse Stadt und die kleine Gemeinde. Berichte. 8° 247 p. (Gen. rep.: *Dr. Karl Honay*, Vienna & *Ed. Depreux*, Sceaux). — Compte rendu du Congrès de Vienne. 8° 134 p. — Proceedings of the Vienna Congress. 8° 133 p.

**Rome Congress** 1955 **Congrès de Rome**  
 Local Government Finance and its importance for Local Autonomy. Reports. 8° 383 p. — Les finances communales et leur importance pour l'autonomie locale. Rapports. 8° 401 p. — Die Gemeindefinanzen und ihre Bedeutung für Gemeindeautonomie. 8° 30 p. — \*Le finanze comunali e la loro importanza per l'autono-

\*) Publ. by. Ed. Caparrini, Empoli, Italy.

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1957

#### Congrès de La Haye

Problems of Expanding Towns. Reports. 8° 95 p. — Les problèmes de l'expansion des villes. Rapports. 8° 107 p. — Probleme der Städteausbreitung. Generalbericht. 8° 24 p. (Gen. rep.-Rapp. gén.: *Dr. F. Bakker Schut*, The Hague).

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Town and Country. Proceedings of The Hague Congress. 8° 99 p. — La ville et la campagne. Compte rendu du Congrès de la Haye. 8° 104 p.

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1959

#### Congrès de Berlin

Local Services for Young People. Reports. 8° 372 p. — Activités locales en faveur de la Jeunesse. Rapports. 8° 390 p. — Soziale Aufgaben der Gemeinden: Jugendfürsorge. Berichte. 8° 250 p. (Gen. rep.-Rapp. gén.: *Patrick Healy*, Washington).

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- \*\* The tasks of Local Authorities in Development Areas. 8° 193 p. — Les tâches des Pouvoirs locaux dans les régions en développement. 8° 206 p. (Gen. rep.-Rapp. gén.: *Aba Khoushy*, Haifa). Rural development — Développement rural: France & Ghana. (*G. Gauer*, Meudon & *A. F. Greenwood*, Accra). Industrial development — Développement industriel: Great Britain/Grande Bretagne & Japan/Japon. (*E. G. W. Allen*, Manchester & National Governors' Association + Japan Association of City Mayors + Japan Local Self-Government Institute, Tokyo). Social and cultural adaptation of the population — Adaptation sociale et culturelle de la population: India/Inde & Italy/Italie. (*V. Jagannadham*, New Dehli & *Giovanbattista Migliori*, Rome). Reports and proceedings. — Rapports et compte rendu.

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- \*\* Local Government structure and organization. Problems of Metropolitan Areas. Reports. 8° 120 p. — Structure et organisation de l'administration locale. Problèmes des grandes agglomérations. Rapports. 8° 121 p.
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Seminar on Central Services to Local Authorities  
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INTERMUNICIPAL TECHNICAL ASSISTANCE



# INTERMUNICIPAL TECHNICAL ASSISTANCE

Explanatory Notes  
Second Edition, June 1963

INTERNATIONAL UNION OF LOCAL AUTHORITIES

# INTERMUNICIPAL TECHNICAL ASSISTANCE

A Programme carried out by the International  
Union of Local Authorities, in co-operation  
with the United Nations

## EXPLANATORY NOTES

Second Edition, June 1963

International Union of Local Authorities  
5 Paleisstraat, The Hague, Netherlands

## INTRODUCTION

1. With the emergence of many new nations during the last years, interest in local government has spread rapidly in various parts of the world. Numerous countries that have recently gained their independence are confronted with the problem of building a new governmental structure and giving local government its proper place therein. There is a growing awareness, in other countries too, that municipalities are an essential element of the democratic system of government as they are in close contact with the citizens they represent. No public authority is in a better position to give attention to the needs and wishes of the governed, none provides better opportunities for participation in public life.
2. Efficient public administration, not least at the local level, is, moreover, considered to be an absolute prerequisite for the economic and social advancement of a nation. The social and economic well-being of many peoples is, to a large degree, determined by the measures which municipalities are able to take in such fields as housing, transport, public health, education, recreation and social welfare.
3. For these reasons the International Union of Local Authorities has taken the initiative in establishing an international programme of technical assistance between municipalities. The programme will provide technical assistance at a level of government which up to now has not been receiving much help, as the procedures involved in processing requests on an international basis are often too cumbersome for local governments.
4. Direct city-to-city assistance has the great advantage of making the often abstract concept of technical assistance a living reality to officials and citizens in both the assisted and the assisting city. Relatively simple procedures would be used and the initial assistance could, if necessary, be followed up by written advice or a visit

by responsible officials from the assisted city to the city granting assistance. In such a way intermunicipal assistance could well result in contacts of a more permanent nature, which might also be extended to cultural aspects.

5. The International Union of Local Authorities has been able to launch the programme thanks to a grant from the Ford Foundation. In establishing the procedure and carrying out the operations IULA has worked in close co-operation with the United Nations.
6. For the time being, the programme allows only for the sending of experts on short-term missions of up to six months, to deal with well-defined questions on which advice can be given after a short study in the city concerned. As for fellowships, these have been limited to those cases where they can be linked with an expert's project, or where a contribution from the co-operating local governments covers a substantial part of the travel and subsistence costs.
7. The fields in which assistance may be provided are mainly limited to those of public administration, housing and planning, social welfare, economic and industrial development, statistics, transport and public finance. The possibilities of rendering assistance in other fields would, however, gladly be explored by IULA if specific requests should be forthcoming.
8. The local government which submits a request for assistance has to make available certain services and facilities that are normally made available by national governments under their technical assistance agreements with the United Nations.
9. Local governments that are willing to provide experts are expected to do so for periods of up to six months and to continue payment of their salaries and related emoluments. The co-operation of municipalities in devel-

oped areas is also sought with regard to the reception of senior fellows in order to acquaint them with their institutions and techniques.

10. Once the preparations have been completed and the national government of the requesting municipality has given its approval, individual projects are incorporated into the United Nations' technical assistance operations. Experts receive the privileges and full status of U.N. project personnel.
11. Local governments requesting assistance should bear in mind that the programme will have, during its first years of operation, the character of a pilot project. Requests for assistance can, therefore, be granted on a limited scale only.  
In deciding on priorities, consideration is given to importance of the results promised by the assistance, tie-in with other projects, amount of assistance forthcoming from other sources and an equitable spreading of assistance over different continents.

## SUBMISSION OF REQUESTS FOR EXPERT ASSISTANCE

12. The first step is a clear formulation of the problem and of the qualifications which the expert should possess in order to solve it.  
A detailed description of the history, the present situation, the expected results and the financial and other plans for the completion of the project can contribute much to the success of the assistance. Where appropriate, information should be included on any assistance received from other sources, the relationship of the project to a similar complementary one undertaken under another technical assistance programme and the relationship of the project to any general development plan or programme.
13. As experts can only be made available for short periods of up to six months, requests for assistance should be limited to specific problems which can be studied and on which advice can be given within the time of assignment.
14. Local governments requesting assistance are invited to submit to IULA in duplicate a Job Description (Form A1), which should include the following information:
  - Post title (e.g. "transport engineer" or "low-cost housing expert")
  - Duration of the assignment
  - Date required (it may take several months before a qualified expert has presented himself and all formalities have been completed)
  - Duty station (place and department of local government administration; e.g.: Rotterdam, municipal budget department)
  - Names and functions of officials permanently involved



in the project, including the one to whom the expert will be assigned

- Description of the job to be performed by the expert (see paragraph 12)
  - Desired qualifications of the expert
  - Languages (list one or more of the following languages which the expert could use in your city: English, French, German, Spanish)
15. With the job description, the requesting local government should submit in duplicate a signed statement (Form A2) to the effect, that it will contribute to the technical assistance by furnishing, or paying for, the following facilities and services:
- a. Local personnel, technical and administrative, including the necessary local secretarial help, interpreters and translators, where appropriate, and related assistance.
  - b. The necessary office space and other premises.
  - c. Equipment and supplies necessary for the execution of the expert's job.
  - d. Local transportation of personnel, supplies and equipment.
  - e. Postage and telecommunications for official purposes.
  - f. Medical services and facilities for technical assistance personnel.

The statement should include a short description of the medical services and facilities which will be made available free of charge to the expert and should mention which other facilities, such as hotel accommodation, the

requesting local government would be prepared to offer at its own expense.

16. The municipality requesting assistance should inform, as soon as possible, the appropriate department of the national government of its request, as the national government's official approval is required at a later stage in the procedure (see paragraphs 36 and 37). The municipality may inform the national government of the fact that the assistance requested will in no way be deducted from the total amount of assistance allocated to the country under the procedures for technical assistance programmes of the United Nations and the Specialized Agencies.
17. After receipt of the forms, IULA will try to find candidates suitable for the job. For this purpose, the Union generally seeks the help of national associations of local governments. These are expected to ask national committees of technical assistance recruitment for their advice on candidates from their countries.

## RECRUITMENT OF EXPERTS

18. In order to give requesting municipalities a choice of expert experience, IULA endeavours to present more than one candidate for each assignment. This means that each candidate, as well as the local government by which he is employed, must accept from the beginning a considerable amount of uncertainty as to his selection, and the possibility of eventual disappointment.
19. On principle, the functions of the expert are advisory rather than operational. Advice is given in daily working contacts, as well as in written reports, to the local government.
20. The expert must be something of a salesman and a missionary. Technical knowledge is necessary, but by itself, it is not sufficient. Unless he is able to win acceptance of his ideas from his counterparts, he has wasted his time. He must relate his recommendations to the practical possibilities of the municipality he is advising. He must have an enthusiasm for his own profession, that is contagious.
21. Previous experience in tropical countries is always a help, but it is not regarded as essential unless specified in the job description. There must, however, be a willingness to accept arduous living conditions, a climate that may tend to drain enthusiasm and energy, and widely differing social customs and patterns, as well as differing political points of view.
22. By nature and education, most people are not automatically fitted to be "international civil servants". Most are schooled in a particular culture and inclined to judge other individuals and other nations according to their own standards and background. This prejudice must be overcome if one is to be successful in international work. Work in the field depends largely upon an ability to accept the rôle of "world citizen", shedding all pre-

judices and being willing and able to understand objectively the particular situation in each country. The expert must not only be willing but eager to make new friends in the different social and political environment, and must always regard himself as a colleague rather than a proconsul.

23. There will be special problems he will be called upon to face. Although there are rules and administrative procedures to guide him in his work, as well as qualified groups at United Nations and IULA Headquarters and in his home town, whose advice he may request if time permits, he will, for the most part, have no opportunity to confer with other authorities as would be the case in the agency where he may have formerly worked. Yet he must realize that, whatever action he takes, or whatever decision he may make, will be attributed to the United Nations or IULA. Errors in judgment, therefore, will not be merely personal errors, but will reflect both on these organizations and on the expert's home town.
24. Once the candidate has been appointed, he will become a United Nations expert, and the United Nations Staff Rules governing project personnel will become applicable to him.
25. He will receive no salary either from the United Nations or IULA. The local government which makes his services available will continue to pay his salary and related emoluments. For the duration of his appointment he will receive from the United Nations a daily subsistence allowance in local currency at a rate established by the United Nations Technical Assistance Board and calculated to cover the costs of food, lodging and certain incidental expenses. The rate may be reduced after the first 60 days in any one country.
26. The expert is expected to travel to and from his duty station by air.

27. The expert is allowed to take with him 50 kilos (110 pounds) of air baggage free of charge. Charges by the carrier for that part of the 50 kilos which is not covered by his usual free allowance for air baggage, will be reimbursed by the United Nations.
28. Experts receive free medical care. Costs for medical services which are not supplied free of charge by the local government to which he is assigned, will be reimbursed by the United Nations. In addition, the expert is covered by certain death and disability provisions of the United Nations Staff Rules.
29. As is usual for assignments for periods shorter than one year, no provisions are made for the expert to be accompanied by dependents. If he wants to be accompanied by his wife and children, all costs involved are to be borne by him.
30. Upon completion of their assignment, experts are asked to transmit a report to the United Nations and IULA.
31. Experts wishing to apply for an assignment under the intermunicipal technical assistance programme, should submit to IULA a Personal History form (Form B1) in duplicate. Candidates are requested to show in detail how they feel their own qualifications meet the specific requirements of the job description. Interviews are arranged when appropriate.
32. This form should be accompanied by a signed statement (Form B2), also in duplicate, by the candidate's employer, certifying that the expert's salary and related emoluments will continue to be paid during the period concerned, that his seniority and pension rights will not be affected by the assignment, that he will continue to enjoy the usual social security benefits and that he will not be recalled before his assignment has ended.

33. Experts are required to take a medical examination before appointment.
34. If possible, several candidates are submitted to the municipality requesting assistance. After the latter has pronounced itself on their acceptability, the complete proposal is submitted by IULA to the United Nations.
35. The United Nations, after a review of the proposal, forwards the necessary information to the Resident Representative for submission to the national government of the country from which the request for assistance originated. The Resident Representative ascertains whether the national government wishes the assistance to be rendered and, if it does, obtains from the government a request in the proper form. It should be understood that the United Nations can provide assistance only upon request of a member government.
36. It is important to note that the Resident Representative should not be approached officially by the municipality requesting assistance before he has been informed of the proposal by the United Nations Headquarters.
37. Once the project has been approved by all parties, the expert receives his instructions on travel arrangements and other practical details from the United Nations. The United Nations and IULA endeavour to brief him as thoroughly as possible on matters which will be of concern to him during his term of assignment.
38. In the field, the United Nations' Resident Representative is available to the expert for consultations and assistance on administrative questions and on matters relating to the expert's work and living conditions.

## FELLOWSHIPS

39. A strictly limited number of fellowships can be made available to senior local government officials wishing to study the manner in which other countries have solved the problems that currently confront their own municipalities. Fellows are asked to submit reports to the United Nations and IULA on the experience acquired during the fellowship.
40. The fields in which the fellowships can be awarded are for the time being limited to those in which expert assistance may be provided (see paragraph 7).
41. In general they can only be made available in such exceptional cases, as where the fellowships would be linked with an expert's project or where contributions from the co-operating municipalities would cover a substantial part of the travel and subsistence costs.
42. Holders of fellowships are entitled to air travel in economy or tourist class. They receive monthly stipends calculated to cover the cost of room, board and essential incidentals, such as laundry and local transportation. It should not be considered a substitute for any salary paid to a fellow in his home country. Neither the United Nations nor IULA can, in any circumstances, assume responsibility for dependents.
43. It is suggested that municipalities wishing to contribute to subsistence costs of fellows, should do so in money rather than in kind, for practice has taught that other arrangements may give rise to practical difficulties.
44. Municipalities wishing to propose one of their officials for a fellowship should address themselves to IULA, stating the name and function of the candidate, his proposed field of study, the country and the duration for which the fellowship is requested and indicating which



part of the travel and subsistence costs will be paid by the municipality making the request. It should be noted that the municipality of the fellow will in any case have to bear certain costs such as those for medical examination, passports and visas, and it is expected that it will continue to pay the fellow's salary.

45. IULA also welcomes offers from municipalities which are willing to provide training opportunities for fellows and are prepared to pay in whole, or in part for their travel and/or subsistence costs. These municipalities should indicate in which fields they could be of assistance.
46. At a later stage, IULA requests the fellow to fill in a personal history form and to propose a study programme. If a municipality, willing to receive the fellow, has been found and other formalities have been completed, the entire dossier is submitted by IULA to the United Nations.
47. The United Nations, after a review of the proposal, forwards the necessary information to the Resident Representative for submission to the national government of the country where the application for a fellowship originated. The Resident Representative has to obtain from the government a formal request, as the United Nations can provide assistance only upon the demand of a member government.
48. Once the proposal has been approved by all parties, the fellow receives his instructions regarding travel and other arrangements directly from the United Nations.
49. Correspondence on the Intermunicipal Technical Assistance Programme should be addressed to IULA, Paleisstraat 5, The Hague, Netherlands. IULA is also prepared to be of assistance, wherever possible, to experts and fellows seeking its advice.



FOR PARTICIPANTS ONLY

CSLA/10  
9 October 1963

ORIGINAL: ENGLISH

ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST

In conjunction with the Eastern Regional Organization for  
Public Administration, and the Division for Public Administration  
Department of Economic and Social Affairs of the United Nations

Seminar on Central Services to Local Authorities  
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Summation and Integration of the Documents resulting  
from the EROPA Conferences on Local Government held in  
Manila 4-10 December 1960 and in Tokyo 28 October -  
1 November 1961.

This paper has been contributed by the Secretary-General  
of the Eastern Regional Organization for Public Adminis-  
tration. The paper does not necessarily express the views  
of the United Nations.

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#### PREFACE

This Report, prepared at the Secretary-General's request, is a summation and integration of the documents of the EROPA conferences on local government held in Manila on December 4-10, 1960, and in Tokyo on October 28-November 1, 1961. The documents were in the form of national reports, rapporteur's reports, daily working group summaries, and final reports.

Each conference revolved around a general theme which was further subdivided into three more specific agenda subjects. Each subject was, in turn, discussed by a working group which submitted a final report embodying its findings and recommendations.

The conference held in Manila took up as its theme the "Strengthening of Local Government for Social and Economic Development". This theme was subdivided into the following agenda subjects: central services to local governments, problems of local self-government, and government administration of rural development.

The conference held in Tokyo deliberated on the theme of "Urban Development and Economic Development". This theme was subdivided into the agenda subjects of metropolitan administration, city administration and citizen participation, and local administration and economic development.

The national reports were in the form of answers to questionnaires on each of the agenda subjects. The eight countries which submitted national reports were Australia, the Republic of China, Indonesia, India, Japan, the Republic of Korea, the Philippines, Thailand and the Republic of Vietnam. Not all countries, however, submitted reports on every agenda subject.

There was no uniformity, however, in the drafting of the various national reports, rapporteur's reports, and final reports. Some reports were highly technical and detailed. Thus, some national reports had rather lengthy descriptions of organizational structure. Other reports were brief and left some questions unanswered. These circumstances are to some extent reflected in the fuller treatment of some chapter topics than others in this Report.

## INTRODUCTION

This Report is divided into six chapters, corresponding to the six agenda subjects discussed at two conferences on local government, one held in Manila and the other in Tokyo.

Chapter I deals with the services which the central government renders to the local units. These services may be in the nature of housekeeping functions (personnel, finance, planning, purchasing, legal advice, etc.) or substantive functions (public works, public safety, health and welfare, etc.). Side by side with the description of these services, the need for the expansion of central assistance to local governments, quantitatively as well as qualitatively, is presented. The crucial question of the extent to which these services can be expanded without weakening the foundations of local self-government is also discussed.

Chapter II deals with (1) the problem of local autonomy and the need for decentralization; (2) the organizational aspects of local governments (such as the problem of strengthening of the position of the local chief executive and that of the representative council); and (3) the problem of increasing the financial resources of local governments so that they may be able to accomplish what is expected and demanded of them, especially in the acceleration of economic and social development.

Chapter III is concerned with the role of both the central and local governments in promoting and accelerating rural development. The problem of coordinating the activities of government agencies (i.e., field-headquarters) internally as well as in relation to one another is considered. At the same time, the implications of decentralization were explored.

Chapter IV treats of the requirements of new metropolitan structures in meeting the problems arising from the phenomenal increase of population in urban areas and the resultant demands for increased facilities and services. The complicating factor of adjacent cities and towns growing into each other around the capital cities, taxing to the limit the resources of the local units in their efforts to solve multifarious problems is analyzed. An attempt is made to resolve the question of whether or not the new remedial administrative structures shall belong to the level of the central government or to an intermediate level /between the

between the central government and the local governments. The major consideration in resolving the question was that of maintaining democratic controls in any reorganization.

Chapter V focuses on the structures of city administration as they relate to citizen participation. The discussion here stresses the point that if the evils of urbanism and urban administration are to be diminished and if local governments are to be made more fully democratic, new methods must be developed to increase citizen participation.

Chapter VI describes the role of the central government and the local governments and their relationships with each other in the field of economic development. It emphasizes the view that while the central government should provide the necessary leadership and impetus in this area, local governments ought to be regarded as partners with the central government and other national agencies especially in the execution of economic development programs. Economic development projects of local governments should be undertaken within the framework of existing regional plans and, ultimately, integrated with national plans.

/Chapter One



## Chapter One

### CENTRAL SERVICES TO LOCAL GOVERNMENTS

#### 1. THE ORGANIZATION OF CENTRAL SERVICES TO LOCAL GOVERNMENTS

##### 1. The Tradition in Central and Local Relations

1.1. The reports submitted indicated that in most of the EROPA countries, the relationship between the central and local governments tended to be paternalistic.

1.2. It appeared that the form and amount of services which the central government rendered to its local subdivisions were apparently influenced by historical, traditional, and geographical factors.

1.3. It was generally agreed that such services were reciprocal arrangements that mutually benefited both the recipient local government and the "servicing" central government body; but the former was usually reluctant to request the services of the latter because it usually received little attention, if it was not ignored, or because of the attendant delays in processing.

1.4. Indonesia, in fact, reported instances of local governments defying the central government because the latter "did not pay enough attention to their requests".

##### 2. Central Agency for Technical and Other Assistance

2.1. None of the countries, except Japan, reported the existence of a central governmental agency charged with the major function of providing technical and other forms of assistance to local governments. It seemed to devolve upon the various technical ministries or departments to render assistance in their respective fields.

2.2. In every country, however, there was an agency, either under the office of the Prime Minister or the President, directly responsible for local governments.

2.2.1. These agencies usually served only as a kind of "post-office" for transmitting the requests of local governments for assistance to the appropriate technical department or ministry.

/2.2.2. Such

2.2.2. Such was the nature of the Office of Local Government under the Office of the President in the Philippines, the Ministry of Home Affairs in the Republic of Korea, the Department of Interior of the Ministry of Interior in both Thailand and the Republic of Vietnam, the Ministry of Interior and Local Autonomy in Indonesia, and Executive Yuan in the Republic of China, and the Ministry of Home Affairs in Japan.

2.3. In India, local government institutions were under state, not federal, jurisdiction. In each state, nevertheless, were field and inspection officers of the various federal technical departments assisting local government in their respective fields, without encroaching upon state jurisdiction.

### 3. Central Service on a Charge Basis

3.1. All central government services to local government were free except under special conditions.

3.1.1. In the Philippines, for instance, the Bureau of Public Highways could lease its equipment and engineering aids to local governments. Provinces and cities were required to set aside a small portion of their income for the support and maintenance of provincial and national hospitals located within their respective areas.

3.1.2. The Republic of Vietnam reported that were some enterprises of a commercial and industrial character, financed and supervised by the central government for which service local governments were charged on the same basis as other private clients or customers.

3.2. Japan reported that local bodies in principle defrayed all the expenses incurred in the fulfillment of their administrative duties, except when the project had nation-wide implications which were designated under the law, in which case the state bore a part or all of the expenses.

### 4. The University System and Local Administration

4.1. The reports showed that the University systems in the EROPA countries were not basically oriented towards providing services for local administration.

4.1.1. However, they often provided technical assistance, in-service training, research, and consultation services whenever requested by local governments.

4.1.2. Examples of these academic institutions were the Institute of Public Administration<sup>1/</sup> of the University of the Philippines, the Seoul National University in Korea, and Chulalongkorn University and Thammasat University in Thailand. They operated generally for academic pursuits and offered courses in local governments and administration.

4.2. The Republic of Vietnam reported that the National Institute of Administration, directly under the Office of the President, prepared civil servants for administrative careers. Annually, a portion of its graduating class was placed at the disposal of provincial governments. In the University, graduate students of the Faculty of Law could be recruited to work in provincial and central governments, while the higher School of Pedagogy trained teachers working in public schools managed by the provincial governments.

## 5. Procedure for Obtaining Central Services

5.1. In general, a local government request for services was sent "through channels" in the governmental hierarchy until it reached the central agency on local governments, which determined the appropriate department or ministry and transmitted it there.

5.1.1. If two or more departments were concerned, the usual practice was for them to consult with each other or among themselves; if necessary, they set up an ad hoc committee for purposes of coordination.

5.2. The procedures involved much red tape and considerable delay. Much paper work was involved, several signatures of ranking officials were required, and proper endorsements and official scrutiny were necessary. The extent of the delay, however, depended in part upon the nature of the request. For example, services involving contractual obligations and financial assistance took a longer time to process than routine matters such as requests for information.

5.3. Vietnam reported that technical departments had representatives in the provinces who received the requests for services. If the request was beyond their competence, the chief of the province made direct contract with the Department or through the General Directorates attached to the Office of the President.

/5.4

<sup>1/</sup> Now the Graduate School of Public Administration. Reference to it throughout this Report, however, will be by its older name.

5.4. In the Philippines, sending requests through a politician's good offices was widely practised. The politician, usually a senator or a congressman seldom consulted the Office of Local Governments; he dealt directly with the department or bureau concerned. Sometimes, he carried with him a handwritten directive from the President, thus insuring a speedy and preferential treatment.

5.5. The working group reports recommended that to minimized red tape and make attention to these requests impersonal, better coordination of central services was urgently needed.

5.5.1. Coordination, it was agreed, was necessary (a) at the ministerial level, to minimize local government dealing with "too many bosses", and (b) among local units, to insure that local projects undertaken autonomously contributed to a meaningful whole.

5.5.2. There was no agreement, however, on the manner in which coordination should be achieved. Three types of coordinating bodies were explored, namely: (1) a separate ministry or department directly under the president or the chief executive; (2) a special commission of ministers; and (3) a bureau or directorate to see to it that the proper ministries or departments attended to the needs of various local governments fairly and expeditiously.

## II. CENTRAL SERVICES FOR THE VARIOUS STAFF AND AUXILIARY ACTIVITIES

### 6. Personnel

6.1. The working group assumed that personnel services were vital to the development of local administration especially in newly independent countries, where the number of persons desiring to participate in governmental affairs was increasing.

6.2. It seemed that local governments were qualitatively as well as quantitatively understaffed among the EROPA countries. But this situation was not clearly discerned by the central governments which tended to pay more attention to salaries, appointments, pensions, etc., than to certain kinds of in-service training.

6.3. It was the general observation that local units could not afford to support their own training or educational programmes and they depended heavily, if not entirely, on central government assistance in this matter. At the same  
/time, central

time, central governments did not usually have a planned service for the development of personnel needed to staff the local units, except for occasional seminars and conferences which were for management improvement and some very limited forms of in-service training.

6.3.1. The reports stated that in the Republic of Korea, these seminars and conferences were offered by the National Official Training Institute and the Public Administration School of Seoul National University; in Japan, by the Ministry of Home Affairs; in the Republic of China, by the National War College and the Provincial Training Corps; in the Philippines, by the Institute of Public Administration, the Civil Service Commission, the Presidential Assistant on Community Development and the Management Service of the Budget Commission; and in Thailand, by the Department of Interior.

6.3.2. In Japan, the Local Autonomy College furnished local governments with trained personnel for higher level positions, while the Ministry of Home Affairs also conducted a personnel exchange programme between the central and local governments in order to place personnel where they were best suited.

6.4. It was noted that pensions programmes were generally operated by the central government for local governments. In the Republic of Vietnam, for instance, civil servants contributed to the national retirement fund by paying a monthly subscription equivalent to 6% of their basic salary. The Government Service Insurance System in the Philippines administered retirement and insurance benefits to all appointed local government officials; elective officials were given the option to join.

6.5. In Indonesia local governments were apparently left to design, develop and administer such programmes and to pay pensions out of local funds.

6.6. With the exception of the Republic of Korea, Indonesia and Thailand, the central governments of all EROPA countries provided local officials with medical insurance with free medical care in government hospitals.

6.7. It seemed that career development was the most commonly neglected phase of personnel administration in these countries with the exception of Thailand and Japan. While the new Civil Service Act in the Philippines provided for a continuing programme of employee training and supervisory, career, and executive development, it was not known to what extent this was observed in actual practice.

6.8. Citizens were usually encouraged to participate in the management of local affairs particularly with reference to the conduct of elections, education, taxation. In the Republic of China, citizen participation included the recall of incumbent local officials on the ground of dereliction of duty; moreover, the central government of this country fostered local interest in government by initiating the organization of non-governmental bodies, e.g., the fishermen's association, the salt-workers association, and the water conservation association.

6.9. Central services in staffing generally varied with the degree of centralization or decentralization of personnel administration.

6.9.1. It was noted that the smaller countries tended to have highly centralized personnel systems and central services in terms of staffing, ranging from recruitment, to selection, appointment, discipline, and removal.

6.9.2. The larger countries tended to have a greater degree of decentralization and delegation of authority.

6.9.3. The working group was not certain that it was necessary at present to establish a separate local personnel administration, and leaned to the view that the staffing needs of local governments could be best served at this time by the decentralization, especially with reference to training and development, of the operations of central personnel agencies, through the establishment of regional offices.

## 7. Finance

7.1. It was noted that the relationship between local governments and the central government involved financial administration, supervision, and assistance in such matters as the setting up of uniform accounting systems, the preparation of capital and operating budgets (usually in the form of review only); the facilitating of tax collection; control of the power of local governments to borrow and invest; the loaning of funds for major constructions, and adding.

7.2. In general, tax and tax collection rules, regulations, and procedures were set up by the central government; but the actual collection was usually left to local administrators.

7.2.1. Indonesia was reported to be an exception, as both tasks were said to be undertaken by local units. This country also had a unique system whereby, /in the absence



in the absence of revenue officers, the central government aided in the collection of local taxes and got 10% of the collected amount, the rest going to local units.

7.2.2. In Japan, the local governments get a 28.5% share of the taxes that they collected on income, corporations, and liquors.

7.3. The central government of Japan usually allowed local units to float bonds, and even assisted them in this for financing certain projects. It also normally guaranteed redemption of these bonds, as well as short term borrowings from the central bank or commercial banks.

7.4. In the Republic of Vietnam, local governments could not exceed the budgetary allowance set by the central government and must submit for approval all contracts amounting to or exceeding V.N.\$60,000.

7.4.1. Subsidies were granted to provinces whose revenues were not sufficient to cover expenditures authorized in the budget; however, villages with surplus funds contributed to "communal assistance funds" designed to defray expenses on public works, such as inter-communal roads, canals, etc.

7.5. The reports revealed that the local units with lesser income and resources tended to have more ambitious development programmes than the richer local units.

7.5.1. It was apparently the hard task of central governments to balance its own financial resources and those of the local governments; to maintain the equilibrium between "abundant" local government and "scarce" local units; and to find the midway between their "wishes" and the "realities".

7.5.2. Central governments also had to concern themselves with the perennial problem of raising enough revenue to meet the ever-increasing demand for services.

## 8. Purchasing

8.1. Among the countries reporting, only the Philippines and Indonesia had a central purchasing and procurement agency.

8.1.1. In all the other countries, each local government made its own purchases and provided for their proper storage.

8.1.2. Usually, central government assistance came only in the form of setting the standards or specifications as to the quality of materials to be  
/purchased,



purchased, follow-up appraisal, and advice on purchase prices and location.

8.2. In Thailand, special agencies were responsible for inspection and testing of purchased materials. Big purchases were checked by a committee established by the central government.

8.3. In the Philippines, the Bureau of Supply Coordination of the Department of General Services took charge of all requisitions for the purchase, stocking up, and warehousing of supplies for the national and local governments.

8.3.1. Local governments, however, could make direct purchases if they paid prices not exceeding those set by the Bureau. Materials and equipment purchased directly were pretested by the proper government agency and required public bidding. Finally, the General Auditing Office checked the quality of the materials to determine compliance with contract specifications.

8.3.2. Unless the prices involved were exaggerated, the central purchasing agency in Indonesia left the work to the Commission on Purchasing in each local unit, provided the maximum value of the purchase did not exceed Rp.250,000.

## 9. Planning

9.1. There was concurrence in the assessment that local governments ordinarily were unable to pursue their planning activities by themselves and that they relied upon the central government for assistance.

9.1.1. In Thailand and the Republic of Vietnam, the central government agencies were assigned to decide on the different types of plans to be adopted (socio-economic programmes, development programmes, etc.), with local governments practically confined to supplying information and offering ideas.

9.2. In the majority of the countries, local governments were given a greater amount of discretion in planning their programmes, with general guidance and consultation services rendered by the central governments.

9.2.1. In Japan, for instance, the central government formulated the basic policy upon which all local units based their own plans; it provided them with technical assistance and subsidies only whenever necessary.

9.3. In the Republic of Korea, a city planning committee made the basic studies and gave advice to the Minister of Home Affairs on forms of effective assistance to local governments.

/9.3.1. In the

9.3.1. In the Philippines, local units consulted with the National Planning Commission on the preparation of town plans, zoning and subdivision regulations, exchange of public lands with private lands for effective public improvement, organization of local planning boards, and drafting of building codes.

Central assistance to local units in management and financial planning was virtually unknown in the Philippines, although local officials could consult staff agencies, such as the Civil Service Commission, the Budget Commission, and the Institute of Public Administration of the University of the Philippines.

9.3.2. In the Republic of China, the extent to which local governments could exercise their constitutional powers suggested the limits of their planning activities. Thus the jurisdiction of local governments for development planning, industrial planning, land planning, etc. was reported to be very extensive. County governments needed, however, to submit their plans to the provincial government which checked whether they were consistent with provincial policies and determined their need for financial assistance.

9.4. Financial aid for local government plans were provided in the form of grants-in-aid in the Republic of China, subsidies in the Republic of Korea, and loans from government banking institutions in Indonesia (the Indonesian Development Bank) and in the Philippines (the Government Service Insurance System).

9.5. The Republic of Korea reported that it encouraged the growth of local communities by investing in certain designated special industrial areas.

#### 10. Programme Improvement

10.1. Central governments in most countries assisted local units in evaluating the effectiveness of their various activities and in determining ways of strengthening them. Such assistance was in the form of an inspection system in Thailand; in Indonesia and India, there were technical departments charged with evaluating local programmes that fell within their respective technical spheres.

10.1.1. The central governments of the Republic of Korea and the Republic of Vietnam evaluated policy plans and activities on the basis of reports which were regularly submitted by the provincial chiefs to the President or his representative.

/10.2. The

10.2. The reports indicated that there was a felt need in the region for experts in organization and management work.

10.3. The Republic of Vietnam and the Philippines seemed to have an adequate number of experts but they were not properly utilized in the different offices.

10.4. Researches on local government administration problems were generally being undertaken, as by the Community Development Research Council and the Institute of Public Administration in the Philippines, the Ministry of Home Affairs in Japan, and the Research Committee on Local Administration in the Republic of Korea.

10.5. The Provincial Government Committee for the promotion of Administrative Efficiency in the Republic of China was charged with the function of making studies for the simplification of administrative procedures in that country.

10.5.1. The observation was also made that in the Republic of China, administrative activities were subject to general review by the lawmaking council through its power of interpellation.

#### 11. Legal Advice

11.1. In every case, the central government extended assistance on problems concerning the laws or ordinances of local governments.

11.2. The reports pointed out that there seemed to be no specific agency of the central government that dealt with local legal problems. Such problems were referred to the departments of justice through their local branches in the Republic of Korea and the Philippines; or to the Department of Interior and the Council of State in the Republic of Vietnam and in Thailand, respectively.

11.3. In Indonesia, before a law went into effect, the First Grade Autonomous Regions secured the prior approval of the Ministry of Interior and Local Autonomy, while the Second Grade Autonomous Regions secured the prior approval of the First Grade Autonomous Regions.

/11.4. In

11.4. In Japan, legal problems were the subject of directives sent by the central government to local governments or were resolved in conferences and seminars.

11.5. In the Republic of China, the services of a member of the bar (governmental lawyer) were usually secured by the central government to provide local units the means of judicial consultation and to defend them in all civil or administrative cases filed by private persons.

11.6. All the countries issued periodic reports on changes in national laws and regulations and judicial decisions.

11.6.1. Subscriptions by local governments to these publications, however, were not mandatory.

## 12. Coordination Among the Local Units

12.1. The reports stressed that the various governments gave importance to the coordination of the activities of local units.

12.1.1. In the Republic of Vietnam and the Philippines, the locale of coordination was the office of the President.

12.1.2. In the Republic of China, the central government coordinated the activities of provincial governments, and the latter in turn coordinated the activities of county governments.

12.2. Generally, there was no formal programme for exchange of information among the local units aside from periodic meetings of local administrators; information was also gathered from national publications on new laws, regulations, and judicial decisions.

12.2.1. In the Republic of Korea, the information exchange programme was limited to police administration.

12.2.2. In Japan, coordination was promoted through a system of local and central interchange of personnel and through central mediation of disputes among local governments.

### III. CENTRAL SERVICES FOR THE VARIOUS FUNCTIONS PERFORMED BY LOCAL GOVERNMENTS

#### 13. Public Works

13.1. The reports indicated a wide variety of assistance in the administration of public works was provided by the central government for local governments. This included the construction and maintenance of roads and bridges, public buildings, and transportation systems.

13.2. Public works projects of a smaller scale were usually undertaken by local governments themselves, with technical or financial support from the national government both in drafting as well as in implementing them.

13.3. In all countries, these central government services were free and except in Indonesia and Thailand, mandatory.

#### 14. Public Safety

14.1. In general, public safety activities in the Region were the responsibility of central governments.

14.1.1. In the Philippines, the national police force, known as the Philippine Constabulary, maintained a station in every province to supervise and furnish technical aid to the local police forces and take a direct hand if the local police force could not cope with the peace and order situation. The National Bureau of Investigation, upon its own initiative or upon request by local police units, furnished technical aid in the detection and investigation of crimes. The Armed Forces of the Philippines, through four "Area" commands, protected the local government units against dissidence and other social and political disturbances.

14.2. In the Republic of Vietnam, the central government maintained a security service and a gendarmerie service in the provinces. Provincial police was technically responsible to the Directorate-General of the Police and Security of the Department of Interior.

/14.2.1. In the

14.2.1. In the Republic of China, the highest police command was located at the provincial level; but it was subject to the supervision and control of the Department of Police Administration of the Ministry of Interior.

14.3. In the Republic of China, both fire protection and traffic control were functions of the local police force. In other countries, fire protection was undertaken by a different body.

14.3.1. In the Philippines, the Fire Prevention Board was charged with drafting arson laws and with planning and studying modern ways of preventing and fighting fires.

14.3.2. In Japan, central fire protection systems provided assistance to, and training of, local firefighters.

14.4. Public safety activities of all central governments were free and, except in Indonesia, mandatory.

## 15. Justice

15.1. In the dispensation of justice, the EROPA countries reported that all courts in the country were part of the national judicial structure, or the state judicial structure in the case of India. Judicial cases were handled by the courts of various levels established in the local areas.

15.2. It seemed that as an application of the separation-of-powers principle, the central administration did not interfere with the judicial matters of the local units. However, Thailand reported that the national court system was administered by the Ministry of Justice.

15.3. The general practice seemed to be that the imprisonment of persons convicted of minor offenses was a purely local matter.

15.4. The Philippines reported that judicial decrees for the arrest or imprisonment of convicted persons might be executed by the local police officers, (national) Philippine Constabulary officers, or the sheriffs. In Thailand, arrest and investigation were done by the Ministries of Police and Interior.

/15.5. The

15.5. The general practice tended to be that the management of prisons was under the authority of a national department or ministry, for example, the Department of Justice in the Philippines and the Ministry of Interior in Thailand.

15.6. The imposition and collection of fines was a combined national-local function in the Philippines, while it was solely a national function in the Republic of Viet-Nam.

#### 16. Health and Welfare

16.1. In the twin fields of health and welfare, the central governments of all the countries reporting provided extensive services to their local units. These functions were naturally under the jurisdiction of the Ministries of Health of the various countries.

16.2. All central governments of the EROPA countries maintained widely-dispersed hospitals which rendered free and madatory services to the public, while charging fees for special boarding in pay wards and for the purchase of special medicine.

16.3. Central governments also provided financial assistance for the health programmes of local governments.

16.3.1. In the Philippines, for instance, local puericulture centres, which were supported by contributions from citizens and civic agencies of the town, regularly received a share from the funds of the Philippine Charity Sweepstakes, a national government corporation.

16.3.2. In the Republic of Korea, medical supplies and financial aid were offered by the central government to help maintain hospitals and clinics established by local government.

16.4. The various countries reported the giving of central welfare assistance to local units in the form of relief food, allotment of housing units, relief clothing, recreation facilities, campaigns for the development of cottage industries, and subsidies for the maintenance of orphanages and correctional and other institutions.

16.5. These services were completely free.



#### 17. Education

17.1. In the EROPA countries, educational policies were national, i.e., formulated by the central governments. These policies were carried out by the local units with partial or full financial support from the central government.

17.2. Elementary education was generally free and compulsory.

17.2.1. In Thailand, free education covered the secondary and vocational courses; a fee of 20% was collected from college students.

17.3. In the Republic of Viet-Nam, elementary schools were supported by the provincial and communal funds. Central assistance was confined to teacher-training.

17.3.1. In Indonesia, elementary school education was the responsibility of the First Grade Autonomous Region.

17.3.2. In Japan, the central government shared half of the expenses which were paid by local governments for compulsory education (Primary and Junior High Schools) and for the salaries of teachers.

17.4. Central governments in some countries also maintained elementary, secondary and collegiate vocational schools.

17.5. In the Republic of Korea, the central government granted financial assistance to civic and philanthropic organizations whose aims were to promote adult education and literacy programmes.

#### IV. THE EXISTING SYSTEM AND POSSIBLE FUTURE DEVELOPMENTS

##### 18. Outstanding Central Services to Local Units

18.1. Some specific central services to local governments were cited in the reports as either exceptional successes or failures. The Philippines, the Republic of China, and the Republic of Viet-Nam, reported a number of successes, while Indonesia reported some failures. Thailand claimed to have experiences of both.

/18.2. The

18.2. The Philippine Community Development Programme administered by the Presidential Assistant on Community Development was reported to have made an outstanding impact directly upon the people and on rural development as a whole. Coordination of services at various levels was claimed to have been very effective.

18.2.1. The credit for the successful rehabilitation of the central and southern parts of the Republic of China in less than one year following the complete devastation wrought by the historic flood of August 7, 1959, was given to the central services. The flood rendered thousands of people homeless and destroyed highways, roads, and crops. The central government directed the armed forces to do reconstruction work in the area. It launched an austerity programme which channeled savings into the financing of new projects.

18.2.2. In the Republic of Viet-Nam, the General Commissariat of Land Development attached to the Presidency of the Republic, greatly helped provincial governments by successfully carrying out programmes of population resettlement, land clearance, and industrial cultivation. The resultant demographic pattern considerably improved the standard of living and the rural economy as a whole.

18.2.3. In Thailand, services in pursuance of the programme of compulsory primary education, public security, and central command of local officialdom - all of which were performed by the field officials of the central government - were considered outstanding.

18.3. The inability of the government of Thailand to implement its public welfare measures and to establish competent local self-government were traced to psychological factors. It seemed that central government officials tended to regard the local citizenry as inadequately prepared for self-government. Local leaders, on the otherhand, apparently resented, as a form of intervention detrimental to local self-government, the minutest central government controls.

## 19. Special services for Non-Academic, Non-Governmental Organizations

19.1. The central government of all the EROPA countries extended financial assistance to civic, religious, industrial, or labor associations engaged in rural development work in their respective spheres of interest. Among the beneficiaries of such assistance were the Red Cross, Rotary Clubs, cultural associations, and organizations for the benefit and welfare of certain groups (farmers, fishermen, salt-workers, agricultural credit cooperatives, and youth clubs).

19.1.1. In the Republic of Viet-Nam, youth associations were geared to the development of civic spirit and the protection of the youth from communist indoctrination. Illiteracy was being fought and cultural standards were being raised through the "Popular Culture Associations", as well as through the "Association for the Propagation of the National Language".

19.1.2. In Thailand and Indonesia, family and tribal groups received government attention and there were attempts on a small scale to assimilate them.

19.1.3. In Indonesia, clans and tribal groups performed duties of government in the rural areas, such as tax collection and police functions.

19.1.4. The Philippine Government maintained a Commission on National Integration to hasten the process of assimilation of the minorities into the cultural majority. The national government granted annually 175 scholarships to non-Christian students and 39 additional scholarships to poor students from the provinces.

For the benefit of the farmers, who comprised two-thirds of the entire population, the central government set up the Agricultural Credit and Cooperative Financing Administration and the Farmer's Cooperative and Marketing Administration.

## 20. Current Trends

20.1. The general trend among the EROPA countries was towards expanding central services for local governments, apparently as an initial step in the training of local leaders for local autonomy.

/20.1.1. In the

20.1.1. In the Philippines, most executive departments had regional offices. It was hoped that this would lead to decentralized operations, although administrative control would be retained at the central office.

20.1.2. In the Republic of China, central government revision of regulations covering local governments reflected a similar trend.

20.1.3. In the Republic of Viet-Nam, the trend was manifested in the form of increasing central assistance in the training of personnel, budgetary subvention and supervision of development programmes, and greater central intervention in local affairs.

20.2. In Japan and Indonesia, this trend was in effect an implementation of the government policy of developing local self-governing bodies, as stipulated in their respective constitutions.

20.2.1. To standardize local administration, the central government of Japan supplied certain models and standards for local governments to follow and provided active assistance and guidance to help them attain these standards.

## 21. Proposals for Expanding Central Services

21.1. The working group in charge of the present agenda subject was of the opinion that central services to local governments should be increased in the fields of finance, personnel, and technical assistance for economic development.

21.2. It stated that local governments should (a) be given a larger share of the tax collections, (b) undertake an extensive and systematic training programme, and (c) increase technical assistance in agriculture.

## 22. Crucial Questions Relative to Strengthening Central Services

22.1. Serious concern was expressed that the expansion of central services might weaken the foundations of local self-government.

22.2. Viewed on the whole, the reports expressed satisfaction that central services to local governments in the region were fairly adequate, although it was conceded that in the effort of the central governments to create the image of a uniform rate of national progress, there developed an apparent disparity in the quantity and quality of services rendered. The less progressive areas tended to get greater attention from the central government than the more progressive areas.

## Chapter Two

### PROBLEMS OF LOCAL SELF-GOVERNMENT

#### A. AUTONOMY OF LOCAL GOVERNMENT

##### 23. Formation of the Different Levels of Local Government

The working group of the present agenda subject noted that the formation of the different levels of local government was largely dependent upon national laws. However, it suggested that the process was influenced by a variety of relevant factors, namely: population, geography, economic resources, national exigencies, and others.

##### 24. Delineation of Power Between the Central Government and the Local Governments

24.1. The working group described the delineation of powers between the central government and local governments in terms of centralization versus decentralization. This scheme was usually laid down in the constitutions and other basic laws. In the case of the countries where such a delineation of powers was not spelled out in specific terms, the central government might delegate its powers to the local government in certain matters.

24.2. It was generally agreed that a decentralized system was the preferred method of self-government.

##### 25. Powers of Initiative and Referendum

The working group noted that with the exception of the Republic of China none of the EROPA countries had provided for direct popular participation in legislation in the form of the initiative and referendum. It appeared, however, that practically all countries aspired for direct participation in local legislation and government. This was true in such countries as Japan, Thailand, the Philippines and the Republic of Viet-Nam.

##### 26. Local Autonomy, National Security, and Economic Development

Suggestions for improving local administration, with a view to making the local autonomy principle compatible with national security and economic development, tended to vary from country to country, depending upon prevailing economic conditions.

26.1. In the Republic of Viet-Nam, for instance, it was generally accepted that national security and economic development required tight control of local activity. However, there was a suggestion that in order to stimulate interest and encourage initiative among the people, local administrators should be given more freedom to deal with local affairs.

26.2. In the case of Japan, the establishment of local autonomy was believed to be compatible with national security and economic development. It was considered to be necessary, however, to keep national controls at a minimum if local autonomy was to be developed.

26.3. In the Philippines, likewise, the problem of local autonomy was tied up with that of national security and economic development. Local autonomy would not only bring the "government closer to the people," but would provide them with greater participation and control of the government. Reform and improvement were suggested along the following lines: greater control powers for local executives, uniform laws and city charters embodying more rational criteria in classification and other standards, personnel and procedures improvement, and effective control by the citizens at large.

26.4. In India, it was claimed that local administration suffered from the wide gap between the legislative framework and its actual implementation. The problems were closely intertwined, and were partly administrative and financial and partly psychological. The administrative limitations mainly related to the deficiencies in trained personnel working as panchayat executives and the lack of co-ordination and adequate guidance and supervision. Reform, therefore, was suggested along these lines.

## 27. Implementation of National Programmes and Local Autonomy

27.1. The implementation of national programmes had a varying impact upon the existing systems of local government in the EROPA countries. It appeared that local interests tended to be subordinated to national interests, and that national programmes placed an excessive burden on the limited apparatus of local administration, as in the case of the Republic of Viet-Nam.

/27.2. In the



27.2. In the Philippines, local governments relied heavily on direct national services and on national financial support. Consequently, local politics was closely identified with national politics. The outcome of the former often determined the extent to which national services and aid was forthcoming in the local area.

28. Local Autonomy, "Democracy", and "Efficiency"

The familiar dilemma that an increase in "democracy" locally might result in a decrease in "efficiency" exerted a varying influence on the EROPA countries in the determination of the powers that should be given to local authorities. It was not disputed that democracy was strengthened through the system of local autonomy. The working group agreed, however, that it suffered frequently from the low caliber of elected officials in certain countries. It was generally accepted nevertheless, that democracy was compatible with efficiency, given sound personnel management.

VI. ORGANIZATION OF LOCAL GOVERNMENTS

29. The Chief Executive

29.1. The current patterns of organization were described in terms of a commission plan, a single executive plan, and a mixed plan.

29.2. So far as administrative efficiency and maximum efficacy were concerned, the working group suggested that the local governments adopt the single executive plan.

29.3. It was also recommended by the group that the executive be assisted by a professional administrator, such as a city manager or a chief administrative officer (as adopted in the United States), or by a competent staff agency. This, it was felt, would solve the problem of having a new local official inexperienced in local administration who was elected to that position owing to the general apathy of the voters. The inherent difficulty of this proposed method consisted in the demarcation of responsibilities and duties between an elective chief and his staff agency.

### 30. Heads of Administrative Departments

In some countries, the heads of the administrative departments were selected and appointed by the local executives. Generally, they had to go through civil service examinations before they could be eligible for appointment. In some other countries, the administrative heads might be elected or appointed by the central government. In order to insure that these persons contributed ultimately to social and economic development, the procedures of appointment should be co-ordinated with the other aspects of personnel administration.

### 31. Legislative Members

The working group seemed to prefer that parliamentary immunity were extended to local legislative members. It was also suggested that an intensive programme to stimulate the interest of the voters in elections should also be implemented in order to attract competent persons to run for local offices.

### 32. Personnel System

It was emphasized that a sound personnel system was indispensable to the local governments. Systems such as position-classification, compensation, an adequate salary scale, old-age pension, disability pension, medical insurance and the like were all conducive to the development of local government.

### 33. Minimum Wage Law

Where a minimum wage law was adopted, as in the Philippines, the local government usually found it difficult to have ample financial resources to pay the salaries of governmental employees. To meet this problem, it was suggested that a position-classification plan need not be nation-wide so that the central and local governments might be governed by separate sets of classification plans, according to their respective peculiar circumstances.

### 34. Central-Local Relationships

Central government supervision and control over local governments were generally expressed in terms of reports, financial control, auditing, dissolution of local government, legislation, and removal of officials. The consensus of the working group was that such supervision and control by central authorities should be at a minimum.

## VII. FINANCIAL ADMINISTRATION IN LOCAL GOVERNMENTS

### 35. Sources of Revenue

35.1. It was reported that the main financial resources of local governments were local taxes and revenues derived from public enterprises, such as public utilities, property tax, and national aid.

35.2. It was generally agreed that income and commodity taxes should be levied by the national government and that whole land tax, property tax, household tax, slaughter tax, and the license tax should properly belong to the sphere of local governments.

35.3. It was suggested that the surtax should be levied and collected by the municipal governments. Another view, however, advocated that it should be levied and collected by the central government and then transferred to the local governments. Actually, these two views did not really conflict; they differed only in method.

35.4. It was suggested that the corporation tax should be paid to the central government.

### 36. Tax Collection Office

It was preferred that there should be a single tax office in each tax area.

### 37. The Need for Adequate Financing

To enable local governments to promote the cause of economic and social development which was said to be the objective of local autonomy, it was highly recommended that they should be financially self-supporting.

Chapter Three

GOVERNMENT ADMINISTRATION OF RURAL DEVELOPMENT

VIII. RECOGNITION OF THE NEED FOR RURAL DEVELOPMENT

38. The Tradition of Government Assistance for Rural Development

38.1. The countries reporting pointed to a tradition of government assistance in rural development, although the nature of this assistance varied somewhat from country to country. In Japan, among the early programme for rural development was the development of farming; in the Republic of China, a land reform programme; in the Republic of Viet-Nam, the opening of new lands; and in India, the construction of a great railway network, irrigation systems, and canals.

39. Factors Contributing to the Recent Interest of Government in Rural Development

39.1. It was noted that in recent decades government interest in rural development had increased considerably. Among the factors which the reports credited with bringing into focus the need for improving the generally low economic and social standards of living in rural areas were:

39.1.1. The fact that the rural populations constituted a high percentage - in some cases more than 80% - of the total population, but had much less of the amenities of life than people in the cities.

39.1.2. The contribution of rural people to the attainment of independence in most of the EROPA countries.

39.1.3. The high rate of unemployment in cities, due partly to the migration of farm population thus making urgent the improvement of rural conditions in order to stem the flow of people to the cities and permit resettlement of some of the urban unemployed.

39.1.4. The communist threat in rural areas and the necessity in certain countries of resettling refugees from communist-occupied areas in the countryside.

#### 40. Emphasis of the New Interest in Rural Development

40.1. The reports emphasized the interest of the EROPA countries in planning an effective development of human and natural resources in order to build soundly for the future in all aspects of rural life. This included interest in bringing about changes in attitudes, and social structure, land reform, diversification of income, better health and education, rural credit, and greater productivity and sustained yield from the land, forests, and other resources.

#### 41. Government Measures for Rural Improvement

41.1. The initial measures for rural development undertaken by the governments of the various countries were reported to be:

41.1.1. A political commitment to the objective of rural development.

41.1.2. General analyses of rural problems and resources.

41.1.3. Definition of objectives in realizable terms, taking account of special needs and opportunities in different sections of the country concerned.

41.1.4. Drawing up of plans, schemes of organization and administration and budgets for mobilization of resources to attain these objectives.

41.2. Subsequent measures were reported to have included:

41.2.1. The conducting of fact-finding surveys to serve as guides in formulation of specific policies.

41.2.2. The establishment of democratic organizational and training machinery for rural development, emphasizing self-help and local government participation.

41.2.3. The education of rural people to the objectives of health protection, land reform, improvement of the general welfare, and increased productivity.

41.2.4. The introduction of co-operatives, farm credit, and other institutional arrangements needed to perform new development functions.

#### /42. Problems

#### 42. Problems of Co-ordination

42.1. It was suggested in the reports that careful consideration should be given to both rural and urban requirements and resources in order to avoid or minimize conflicts, and that planning should fully consider the needs and thinking of both the national and local levels of government.

42.2. The reports noted that the diversity of agencies and groups directly concerned with rural development made co-ordination essential.

### IX. THE SUBSTANCE OF RURAL DEVELOPMENT

#### 43. Social Change as a Factor in Rural Development

43.1. In the EROPA countries democratization and modernization were the sine qua non of rural development. Democratization and modernization were conceived as processes that involved gradual changes in the attitudes of the people and the transformation of the individual outlook; such that apathy and indifference would give way to a sustained effort of self-help and mutual co-operation.

43.2. The reports stressed that it was essential to overcome certain socio-psychological factors which tended to hamper the progress of rural development programmes, such as regional particularism, stubborn attachment to family and birthplaces, resistance to change, and traditional agrarian values.

43.3. However, certain traditional characteristics of religious and family patterns were said to be conducive to the achievement of the goals of rural development and should be preserved.

#### 44. General Scope of the Rural Development Programme

44.1. It was expected that rural development programmes would contribute to the development of all aspects of community life. Educational improvement, economic development, improvement of the health services, and social activities were regarded as desirable components of any plan for rural community development.

44.2. The view was likewise advanced that it might be justifiable to select specific aspects of rural life as objects for development, depending upon the needs and conditions of the people in the community.

#### /45. The Need

#### 45. The Need for Citizen Participation

45.1. It was thought to be desirable that the people in each rural area should decide what projects should be carried out, and what community problems should be solved. Planning must come from the people no less than from the government, in order to encourage fuller participation of the community and thus enhance the prospects of success.

#### 46. Specific Activities in Rural Development Programme Planning

46.1. The following activities were viewed as meriting high priority in rural development planning:

46.1.1. Education - compulsory and free education and library service; stimulation of the community rural development spirit; promotion of the co-operative spirit and the self-help attitude; and leadership and training.

46.1.2. Agricultural production - increase in production and income; field demonstrations; irrigation works; seed improvement and distribution; scientific methods of cultivation, fertilization, and utilization of natural resources; improved use of manpower; farm mechanization centers; farm credit; marketing services; land reclamation and resettlement; and farmers' co-operative associations.

46.1.3. Health - sanitary services; health mobile units; drainage and disposal of wastes; medical care; pure drinking water; midwifery service; eradication of malaria and other communicable diseases.

46.1.4. Communications - construction of roads; feeders; etc.

46.1.5. Social activity - organization of rural youth; civic groups; sports; rural entertainments; communal gardens; co-operative movement; picnics; and recreations.

46.1.6. Industrialization - home industry; craft and art work; small and medium-scale industry.

#### 47. The Establishment of Priorities

47.1. It was realized that there were difficulties in deciding on the priorities in any programme development; however, it was considered advisable that the government set national and regional goals, based in part on community goals marked out by each locality.

/47.2. It was



47.2. It was also deemed desirable for the people to set their goals according to their needs, conditions, and resources.

47.2.1. It was assumed that each community had different needs and problems which could best be identified locally and solved with available local resources, supplemented by the technical and financial assistance of the central government.

#### 48. The Role of the Government

48.1. The reports emphasized that the central government should be prepared to offer guidance, advice, and technical assistance to local community projects.

48.2. It was assumed that the central government would take the leadership in planning and initiating development programmes. Thus, it was observed that in many countries, rural development formed a major objective of national policy.

48.3. In the countries with well-developed programmes, devolution of power and responsibility from the central government to the local government was taking place.

#### 49. The Role of Voluntary Associations and Other Organizations

49.1. While it was generally conceded that the governments of the countries played the major role in shaping rural development programmes, it was likewise recognized that several other organizations contributed their share to the undertaking.

49.2. Political parties, like the Kuomintang party in the Republic of China and the two major political parties (the Liberal and the Nacionalista) in the Philippines, formulated and adopted policies for the development of rural areas.

49.3. Civic organizations, newspapers, and other mass media either expressed their views or vigorously supported the various proposals on rural development.

49.4. Valuable

49.4. Valuable technical assistance in the form of experts and advisers in the various fields, as well as financial aid for the rural development programmes, were furnished from the outside through (a) multi-lateral arrangements, like the Colombo Plan, the French Technical Aid Mission, the United States Operations Mission; (b) international organizations, like the International Co-operation Administration, the Food Administration Organization; and (c) the United Nations specialized agencies, like the UNESCO, the WHO, and the UNICEF.

#### X. THE ADMINISTRATIVE SCHEME OF RURAL DEVELOPMENT

##### 50. Activities of Present Organizations Involved in Rural Development

50.1. The administrative machinery for rural development was reported to include not only the direct services extended to the rural development programme (such as agricultural extension, education, and health), but also supporting services (such as research and the training of technical personnel) and overall development measures (such as roads construction, irrigation works, and tariff policy). It was said to embrace also the activities of local government units as well as the central government.

50.2. In some countries, efforts were made to integrate all elements involved in community development. With comprehensive national planning providing the basis for the allocation of resources, the machinery for co-ordinating the technical services was set up at several levels and the participation of the people was enlisted in shaping government programmes and in carrying them out on a self-help or mutual-help basis. In other countries, community development was still in a pilot project stage.

50.3. In some countries, less emphasis was placed on co-ordination of the government rural development activities, and local governments were not given a significant role in the development programme.

##### 51. Programming and Implementation

51.1. One group of EROPA countries depended upon the normally established agencies to plan, co-ordinate and implement the various phases of their respective rural development programmes. This was true in the case of the Republic of China, the Republic of Korea, Indonesia, and the Republic of Viet-Nam.

/51.2. Another

51.2. Another group consisted of those countries which had established a separate central agency to plan a co-ordinated programme of development, which in turn was to be implemented by the various appropriate agencies of the government.

51.3. In the Philippines, this central function of planning the development programme was performed by the Presidential Assistant on Community Development; and in Thailand, by the Department of Community Development of the Ministry of Interior, assisted by the National Community Development Board and the Rural Co-operative and Administrative Board.

## 52. Decentralization of Rural Development Programme

52.1. The importance of decentralizing government rural development operations and decisions was recognized almost everywhere. It was reported that different methods of decentralization were being tried, but these were instituted only recently and it was too early to report the results. Some experiences in decentralized operations were recounted as follows:

52.1.1. In India, the elected councils in the villages and the indirectly elected representative bodies at the block and district levels were being given responsibility, power, and resources not only for planning but also for executing development programmes. In the execution of development programmes, state administrative and technical personnel served as the executive arm. In this programme of "democratic decentralization," heavy reliance, for purposes of rural development, was placed on the village council, the co-operatives, and the school, with technical and financial support from higher levels.

52.1.2. In Pakistan, the "basic democracies" programme similarly made personnel and other resources of the central government available to representative bodies at local levels.

52.1.3. In Indonesia, although the distinction between local government and central government matters was being maintained, the self-reliance of the local units was in fact being strengthened. The co-ordination of central government activities was effected through field administrative officers who served both levels of government and were appointed on the recommendation of the elected councils.

/52.1.4. In the

52.1.4. In the Philippines, a law was recently passed giving local government status to the barrio (or village, politically a unit of the town); then, a programme was inaugurated to train barrio elected officials for leadership. It was noted that among EROPA countries only the Philippines had an elected provincial governor.

53. Some Aspects of the Rural Development Personnel System

53.1. There were reported to be three different types of village-level workers in the EROPA countries, namely, the general purpose worker, who served mainly as a catalyst of self-help effort, as in the Philippines; the technician in agriculture or in any other service, who was selected for his skills in human relations, who also served as a self-help catalyst, such as the "dual purpose" worker in Indonesia; and the multi-purpose worker found in India and Pakistan, who performed rudimentary functions on behalf of the various technical services, in addition to functioning as catalyst of self-help effort.

53.2. Most countries reported difficulty in attracting professional personnel (such as doctors and teachers) to rural communities remote from urban centers.

53.2.1. This was not so serious in India because the conditions offered by the government (e.g., compensation and pensions) were, in some states, more attractive than those available in private practice. Moreover, government doctors were allowed to devote some time to private practice.

53.2.2. Elsewhere, various measures were being tried. For example, in Indonesia, doctors engaged in private practice were required to render a certain amount of time each week to government medical activities, and government-supported medical students were required to serve the government for a period of time amounting to twice the number of years for which education was provided. Those who paid for their own education were required to serve in the government medical service for at least two years after graduation. As in India, government doctors in Indonesia were allowed to spend part of their time in private practice.

53.2.3. In the Philippines, the emphasis was being placed on developing government rural health units in each municipality.

#### 54. Development of Tribal Areas

54.1. Several of the countries reported that they had established special agencies or training programmes to enhance the advancement of tribal minorities. All countries were working toward extending the same pattern of decentralization and expanding the same services to tribal peoples as to other citizens.

#### 55. Special Administrative Problems of Rural Development

55.1. Among the special administrative problems involved in rural development, the following were regarded as deserving prior attention:

55.1.1. Relationships between field services and local government areas and activities.

55.1.2. Effects of successive levels of administrative co-ordination on programmes of technical services.

55.1.3. Methods of attracting professional and technical personnel to rural areas.

55.1.4. Methods of developing a field service capable of providing leadership for rural development activities.

55.1.5. Centralizing effects of grants-in-aid upon local government. The question was raised whether these centralizing effects were dysfunctional from a development standpoint, and if so, what could be done.

### XI. ACHIEVEMENTS AND TRENDS

#### 56. Major Achievements

56.1. None of the countries reporting claimed to have implemented its rural development programme fully. In some countries only pilot projects had so far been set up.

56.2. However, the general consensus was that the results so far achieved were indeed encouraging and that the tempo was still increasing.

/56.2.1. The most

56.2.1. The most notable achievements were believed to be in the field of agriculture. The annual production of the Region's chief crops showed significant increases; at the same time, it was noted that there was a marked rise the amount of agricultural credit and farm loans issued by the government.

56.3. Improvements were reported in subsidiary spheres such as reconstruction, health, education, citizen participation, refugee settlement, and recreation. New public buildings such as markets, schoolhouses, pagodas, cemeteries, infirmaries, dispensaries, and emergency clinics were built in all parts of the Region. The Republic of China claimed to have, by now, the highest number of health personnel and hospital beds in the entire Region.

#### 57. Statistics as Criteria for Evaluation

57.1. The reports indicated that the most commonly used criteria for evaluating the achievements in rural development were such tangible manifestations as increase in per capita income and in agricultural production.

57.2. Statistical records were taken before the inauguration of the programme and later these were compared with new data compiled sometime after the programme had been in operation.

#### 58. Evaluating Social Change

58.1. It was generally conceded that without a change in the attitudes of the rural people, the achievement of the specific targets of the rural development programme would not have any lasting effects. Positive manifestations of social change were reported in the form of more active citizen participation in community meetings, improved health conditions, and growing enthusiasm for education as shown by the huge annual enrolment increases in educational institutions.

58.2. The group recognized the importance of the time element in producing the desired changes. On the basis of the experience of most EROPA countries the view was widely held that ten to fifteen years of operations of the rural development programme could not guarantee significant results.

59. Technical Ministries and Rural Development

59.1. As reported by Indonesia, Thailand, the Republic of Viet-Nam, and the Philippines, rural development programmes had a strengthening effect upon technical ministries or departments, since their activities have thereby been vastly increased in scope and scale.

59.2. However, in countries where local self-government was more advanced and increasingly utilized for the development programmes, or where the generalist officers were put in charge of these programmes, some responsibilities were taken away from and may thus eventually weaken the technical ministries.

60. Local Government and the Over-All Planning Body

60.1. The relationship between local governments and the body doing the over-all planning for rural development varied among the EROPA countries.

60.1.1. In the majority of the countries, local government bodies were not extensively involved in over-all planning for rural development. Their role was usually limited to implementation.

60.1.2. In some countries, however, local government bodies were included in the planning agency. For example, in Japan, local units were represented in the Rural Development Planning Body; in India, the Chief of Local Autonomy was a member of the Commission on Rural Development.

60.2. While it was agreed that the ideal arrangement was to involve local governments intensively both in the planning and in the implementation of development programmes, it was doubted that present circumstances (i.e., the unpreparedness of local governments to take over certain responsibilities) and the need for rapid change could make this ideal arrangement practicable for some time, especially in countries where local autonomy was still rudimentary.

61. Directions and Trends

61.1. The EROPA countries reported having scheduled more extensive and intensive development projects, apparently with the intention of bringing about a uniform internal rate of progress.

61.2. It was



61.2. It was noted that local governments were increasingly being used as instruments through which rural development programmes were encouraging citizen participation.

## 62. Alterations in the Present Trends

62.1. The working group considered it advantageous for rural development programmes to reconsider the present relationship between the generalists and the technicians and the question of whether all rural development projects must be in the hands of a single generalist administrator or centered around one subject matter (like agriculture or education).

62.1.1. It also suggested that greater attention should be given to research, the institution of a career services in rural development, and the clarification of the relationships between the execution and elected officials.

## 63. Conclusions

63.1. The working group warned the EROPA countries of the sad experience of some which attempted to extend programmes of development before trained personnel of the desired quantity and quality were ready and available.

63.2. It also called attention to the pitfalls of a developing economy "adopting" without "adapting" the system of rural development of the more developed countries.

63.3. The working group, finally, admonished that central governments should not be misled into thinking that they had fulfilled their responsibilities for rural development by merely transferring these responsibilities to local governments.

## Chapter Four

### METROPOLITAN ADMINISTRATION

#### XII. THE PHENOMENON OF METROPOLITAN GROWTH

64. The EROPA countries uniformly reported a phenomenal growth in their populations, marked by increasing concentration of people in the metropolitan and urban areas. The degree of urbanization, however, differed from one country to another.

65. It appeared that the rapid growth of the urban communities was a function of several factors; namely, industrialization, the improvement of means of transportation and communication, and the inherent attractions of city life - its amenities, better opportunities for education, and better health and social services.

66. In the Republic of Viet-Nam, the increase of population was explained as the result of the influx of refugees from North Viet-Nam. As a consequence, housing had apparently become the most urgent problem, especially in the urban centers.

67. The residential districts of the urban and metropolitan areas tended to move out gradually to the suburbs. In the process, several serious problems were inevitable. In the Philippines, the identifiable city and suburban problems were slums, garbage and sewage disposal, heavy traffic, overcrowded schools and jails, the inadequate number of fire hydrants, low water pressure or actual water shortage, rising criminality, prostitution, and juvenile delinquency.

68. It was felt that increased demands for social services might have been an offshoot of political independence, popular education, and growing acceptance of egalitarian values.

69. These demands had apparently taxed to the limit the capacity of cities to provide the necessary services (sanitation, housing, public utilities, urban planning, and security of life and property). It was commonly observed that while the demands on urban authorities had increased considerably, their resources and personnel had not increased correspondingly to enable them to cope with the demands.

/70. Many of

70. Many of the present problems of urban areas seemed to have been the result of inadequate planning. Manila, for example, appeared to have an outmoded zoning ordinance. A recent report of the National Planning Commission was cited as source for the information that more than 50 per cent of the city suffered from indiscriminate land use; that there had apparently been some laxity in the issuance of permits and licenses to a number of industrial and commercial establishments; and that one-third of the country's industries operated in Metropolitan Manila, with 50 per cent concentrated in the city itself.

#### XIII. DEFINITION OF "METROPOLITAN AREA"

71. The countries reporting did not set uniform criteria to define "metropolis" or "metropolitan area". Nevertheless, they agreed that certain features common to big cities gave them a metropolitan character. These were:

71.1. The existence of a "core" community (or "core" communities) surrounded by a number of subsidiary and interdependent communities or suburbs.

71.2. The existence of certain social, economic, and political needs owing to a heavy population concentration in a relatively small geographic area. In most cases, these needs increased beyond the capacity of the existing administrative systems to serve adequately.

71.3. The existence of a "poly-neuclear" social and economic system; that is, while the metropolitan political and administrative system might be highly centralized, there would always be a differentiation in the economic and cultural systems.

71.4. The exertion of a great deal of influence by the metropolitan area on the life of the entire nation.

71.5. An increasing functional ambiguity as to the boundaries of the area.

72. India adopted its definition of a "metropolitan area" from a study of the "World's Metropolitan Areas" made by the Institute of International Studies, University of California.

/72.1. The

72.1 The said study states: "An area with 100,000 or more inhabitants containing at least one city (or continuous urban area) with 50,000 or more inhabitants and those administrative divisions contiguous to the city (or to the continuous urban area) which meet certain requirements as to metropolitan character".

72.2. The above study defined an administrative division as an area having "at least 85 per cent of its labour force working in economic activities other than agriculture (which is meant here to include hunting and fishing as well as farming). Necessarily, such a division has also to include or be contiguous to the principal city (or urban nucleus) or to touch upon an administrative division already included in metropolitan area".

73. The Republic of Viet-Nam defined a metropolitan area as a large region oriented around a big city. A city or metropolis was understood to form the commercial, industrial, cultural, and administrative center, surrounded by suburbs, dormitory towns, and villages. In the Vietnamese view, the city and the suburbs ought to satisfy the following criteria in order to be considered a metropolitan area.

73.1. First, the city must have a population of 50,000 or more.

73.2. Secondly, two-thirds of the city and the suburbs must be non-agricultural.

73.3. Thirdly, the population should be provided with adequate modern living facilities such as electricity, running water, telephone, bus and taxicab service, etc.

74. In Thailand, the term which seemed closest to the meaning of "metropolis" was Tesabal Nakorn, or big municipality. According to the Thai law on local government, urban areas exercising a certain amount of self-government were to be classified into three classes, according to the size and density of their population and their financial resources for the performance of designated services.

#### XIV. PATTERNS OF METROPOLITAN ARRANGEMENTS

75. As shown in the reports received, the various machineries for metropolitan administration would fall under one or another of the following types:

75.1. A single local self-governing unit for an entire metropolitan area.

75.2. A single agency of the central government for an entire metropolitan area.

75.3. A one-tier system of local government in metropolitan areas with devices for inter-governmental cooperation.

76. The type in existence would depend upon the history and traditions of local government and the stage of economic and social development of the particular metropolitan area. Viewed against the factors of efficiency, equity, and self-government, the first type of metropolitan administrative machinery was considered difficult to attain because it involved unity of functions which no local government could perform. The second type was likewise regarded as difficult to realize, for the reason that it tended to jeopardize the principle of local autonomy. The third type was generally accepted as the most appropriate one, as it appeared to satisfy best the criteria of efficiency, equity, and provision for self-government.

77. The third type was reported to have three sub-types; namely -

77.1. Arrangements for joint performance, through associations of local public bodies, of such specific functions as water supply, sewerage, and bus transportation.

77.2. Arrangements for a two-tier system of local government with the higher-level authority assuming coordinative powers.

77.3. Arrangements for coordination by the central government of functions usually vested in lower-level governmental units of metropolitan area. These arrangements lent themselves to further division into two lesser types: (1) a type in which certain functions, such as metropolitan planning and construction of expressways, were undertaken directly by the central government; and (2) a type in which the administration of metropolitan services was entrusted with local authorities, the responsibility of the central government being confined to the coordination of their activities.

## 78. Actual Patterns in the Region

78.1. Generally, the pattern of metropolitan administration in the EROPA countries was that of a number of separate, uncoordinated, and individual units of government with no proper arrangement for dealing with functions that concerned more than one of the units or all of them, and no proper arrangements for coordinating matters of common interest. Australia and Japan, however, appeared to have had experiences in truly metropolitan arrangements.

### 78.2. Australia

78.2.1. In Australia, perhaps Brisbane was the only case where there had been any radical attempt to adopt a form of metropolitan government that could meet new conditions.

78.2.2. Brisbane had a Greater Brisbane Council, created by special legislation in 1925, in which all civic affairs were operated under unified control. That Council absorbed the functions of twenty previously existing local authorities in the area - the Metropolitan Electricity Board, the Hospital Board, two Bridge Boards, the Brisbane Tramway Trust, and the Metropolitan Water and Sewerage Board.

78.2.3. In Sydney, the largest city in Australia, there was a City Council controlling an area of about 11 square miles. Within the metropolis of Sydney, however, there were 29 other municipalities and 5 shires covering an area of nearly 1,100 square miles. In recent years, there had been some consolidation and aggregation of municipalities with the Greater Sydney area, and the problems of coordination had to that extent been lessened. On matters which affected more than one local government area, either a county council which included representatives from the local governments concerned was formed, as was done in the matter of electricity supply, or a separate authority was constituted, as, e.g., the Metropolitan Water and Sewerage Board. Town planning through the metropolis was also the function of a regional authority known as the Cumberland Council. Transport, however, did not come under local government control, but was rather a function of a department of the state.

### /78.3. Japan

### 78.3. Japan

78.3.1. In Japan, there were two patterns for metropolitan administration; namely, the metropolitan system and the designated city system, both stipulated by law. In general, Japan's local administrative system considered of two levels; namely, the prefectural system, which was an area-wide administration system, and the "Cities, towns, and villages system", which was a basic local administrative system. When a city developed into a metropolis, dual administration resulted, one for the new metropolis and another for the prefecture. To prevent such dual administration, the metropolitan system was adopted.

78.3.2. The law made it possible to apply the metropolitan system to great cities other than Tokyo; but at present, it was applied only to Tokyo.

78.3.3. A metropolis had the function of a prefecture and a city in regard to metropolitan area; but in the case of districts other than metropolitan areas, it possessed functions only of a prefecture.

78.3.4. Designated cities were not independent of their prefectures. In this respect, they were not different from the general run of cities; but because of their financial capacity, they were empowered to carry out work (such as social welfare, health and sanitation, city planning, construction and other activities directly concerned with the lives of the citizens) which was usually entrusted to the prefectural administration.

78.3.5. In case there was a multiplicity of local governmental units, intergovernmental cooperation was obtained through measures provided for in the Local Autonomy Law such as the consignment of work, the establishment of deliberative councils, joint establishment of organs, the association of local public bodies, and the dispatching of officials. Of these measures, the association formula was adopted most frequently. Among prefectures, however, this formula found little application.

78.3.6. Cities, towns, and villages had practically remained fixed in size since the consolidations carried out on a wide scale in 1889. Because of the drastic changes in social and economic conditions since then - particularly the qualitative changes witnessed in the administration of cities, towns, and villages after the war as well as the increase in their authority - the necessity of carrying out another great consolidation of towns and villages was felt to be quite urgent.



#### XV. SPECIAL LEGISLATION FOR METROPOLITAN AREAS

79. Three countries reported the existence of special legislation for metropolitan areas. In Australia, the Brisbane Metropolitan area was established by special legislation. In Japan, there was the National Capital Redevelopment Law. In the Republic of Korea, there existed a law in 1951 establishing the Committee of Municipal Planning.

##### 80. The National Capital Redevelopment Law of Japan

80.1. For the purpose of carrying out the redevelopment of Tokyo and its surrounding areas, a specially constituted national administrative agency was set up in 1956 by the Capital Region Redevelopment Law. It was a pioneering arrangement, in which a national agency planned for the development of an area covering several prefectures and hundreds of municipalities and, in doing so, often consulted the opinions of the local authorities affected.

80.2. This novel arrangement came into being when it was recognized that the region was logically an economic and social unit, and that an over-all plan covering the entire region was needed to ensure its harmonious development.

80.3. The National Capital Region, as defined, embraced the whole of the prefectures of Tokyo, Kanagawa, Saitama, and Chiba, and parts of the prefecture of Ibaragi, Tochigi, Gumma, and Yamanashi. All in all the area was about 26,187 square kilometres, with a radius of approximately 100 kilometres extending outward from Tokyo.

80.4. The National Capital Regional Redevelopment Commission, which was responsible for the execution of the law, consisted of a chairman, who was to be a Minister of State, and four members, two of them full-time. It had a permanent staff organization under its control.

80.5. The Commission was empowered to (1) prepare redevelopment programmes; (2) designate industrial development areas and facilitate their development; (3) impose restrictions on construction or extension of industrial plants within existing urban areas; and (4) coordinate the execution of the redevelopment programmes.

XVI. PROBLEM AREAS OF METROPOLITAN ADMINISTRATION

81. A General Statement of Problems

The more significant problems of metropolitan administration were understood to revolve around the following points:

81.1. The need for new structures of metropolitan administration, as against modification of already existing ones.

81.2. The allocation of functions among the various levels of government.

81.3. Recruitment, training, and adequate pay for civil service employees.

81.4. Finance.

81.5. The role of voluntary associations.

82. The Establishment of New Structures for Metropolitan Administration

82.1. As to the necessity, desirability, and feasibility of creating new administrative machinery for the metropolitan area, a variety of views was expressed. The importance of this problem in any particular metropolis apparently depended upon three recognized factors: the level of performance of existing systems; political institutions, values, and traditions in the particular country; and the status and responsibilities of local governments in the country.

82.2. Although it was generally held desirable to retain as much local autonomy as was consistent with effective performance, it was also deemed necessary that regional or metropolitan government handle such functions as planning, sewerage and drainage. In certain countries, such as the Philippines, it was politically feasible to make any substantial modifications in the existing machinery. In these countries, the creation of special purpose authorities, inspite of their shortcomings, appeared to be the main device for coping with the metropolitan needs. It was thought that these authorities might eventually combine to form a coordinated metropolitan government.

/82.3. In some

82.3. In some cases, a pragmatic approach to the achievement of an adequate administrative machinery for metropolitan areas was regarded to be necessary; so that, rather than relying on any one method of approach, the countries seeking to solve certain metropolitan problems should continue trying a number of ways. Some of the methods of approach that had been tried were the creation of single- and multi-purpose districts; the consolidation of governments within the metropolitan area and annexation by the core cities whenever possible; and in some instances, where circumstances permitted, the establishment of a federal or two-tier metropolitan system. The extent of progress toward the achievement of a metropolitan government would depend upon the strength of the leadership of those advocating changes, the extent of apathy or opposition, and the political climate, traditions, and conditions of the community and the nation.

82.4. It was felt to be necessary for each country to devise administrative arrangements for metropolitan areas in the light of its own peculiar conditions, needs, and traditions, with a view to satisfying the need for efficiency, equity, and local autonomy. A unitary metropolitan government was not deemed suitable as it would detract from local autonomy. Administration of the metropolitan area directly by the central government, though it might be efficient, would likewise afford no local autonomy. Three desirable lines along which progress might be made were suggested in the reports; namely -

82.4.1. The establishment of special-purpose corporations, or associations of local government units, for the performance of specific functions.

82.4.2. The establishment of a two-tier system for the metropolis.

82.4.3. Coordination through the implementation of plans or the control of specific activities by the central government.

82.5. As regards the two-tier system, the general view was that it held much promise though it could not be expected to solve all problems of the metropolis. For example, the problem of where to locate industry was thought to be a national, and not merely a metropolitan, concern.

/82.6. Finally,

82.6. Finally, it was suggested that any real solution to metropolitan problems required a more definite allocation of functions between the central government and local governments, the cooperation of private enterprises and the decentralization of industry.

### 83. The Allocation of Functions Among the Various Levels

83.1. To prevent functional duplication, it was agreed that some form of allocation of functions would have to be established among the various levels of government. However, there was no general agreement as to the nature of such an allocation system. For example, in Japan, relief to the poverty-stricken was believed to be a function properly belonging to the local government. In Australia, however, this function was handled by the state government.

83.2. An example of the complicated character of the allocation of functions between central and local governments was the administration of the Japanese public transportation system in the Tokyo metropolitan area. In this case the subway network was administered partly by a public cooperation and partly by the Tokyo Metropolitan Government; the streetcars were run by the Tokyo Metropolitan Government alone; the buses were operated by both the Tokyo Metropolitan Government and private enterprises; and finally, the suburban railway system was administered by the Japan National Railway and private enterprises.

To solve the confusing status of public transportation, an investigating committee was created to examine the possibility of establishing an entirely new organization in order to unify the various transportation networks.

83.3. To overcome the problems cited above, it was proposed that "special districts" and ad hoc arrangements be used.

### 84. Personnel Problems

84.1. In all of the countries reporting, metropolitan governments were faced with the serious problem of obtaining and retaining competent civil servants. There was a basic difference between the countries having a unified and centralized civil service and the countries having decentralized personnel systems. In the former, officials operating on the local level were national officials; in the latter, local governments had their own personnel.

/84.2. Another

84.2. Another personnel problem concerned the establishment of an adequate pay scale. In many countries, metropolitan governments were losing good personnel to private industry and to the central governments. The pay scale of metropolitan governments, it was felt, should be adjusted to compare fairly with that of industry and other levels of government.

84.3. It was deemed necessary to establish pre-service and in-service training for metropolitan civil servants. In most countries, there was a special need for skilled technicians and for administrators with some understanding of the process and problems of economic development. The establishment of schools, such as the local Autonomy College in Japan and the Institute of Public Administration in the Philippines, was regarded as a step in the right direction. It was noted that similar schools were found in the Republic of Viet-Nam, Thailand, and Indonesia. An exchange of personnel among the various governments in the metropolitan area, especially between the upper tier and local tiers, was accepted as a good means of broadening the experience of metropolitan officials and enhancing their usefulness.

#### 85. Financial Problems

85.1. In all EROPA countries, the metropolitan areas depended largely upon the general property tax, which however, gave them inadequate incomes. The situation was aggravated by the lack of a modern financial administrative system.

85.2. The possible ways that were suggested to improve the finances of the metropolitan areas included:

85.2.1. An improvement of existing tax administration.

85.2.2. Aid from the central government, either through shared taxes or through subsidies.

85.2.3. Broadening the revenue base of municipalities by permitting them to levy new taxes and to engage in various enterprises.

85.2.4. The levying by the municipal government of tax supplements on national taxes, to be collected from local citizens.

85.3. There was a difference of opinion as to whether there should be an allotment of certain specific taxes to the central government and others to the metropolitan government. The belief was expressed by some that a number of equitable taxes could be levied at all levels of government.

## 86. The Need for Civic Education

86.1. It was noted that even the most realistic and rational plans might fail in the face of resistance by citizens who, for various reasons, would rather retain the traditional structures and functions.

86.2. To overcome this resistance, both local and central governments would have to educate the people for civic responsibility.

86.3. It was also suggested that social welfare programmes might create sympathetic public attitudes and help dispel any distrust which the people might have of the government.

## XVII. THE ROLE OF THE CENTRAL GOVERNMENT IN METROPOLITAN ADMINISTRATION

87. The working group on the present agenda subject was particularly impressed by the cooperation among the central government, local governments, and private enterprises in the re-planning of the Tokyo Metropolis and its adjacent areas. In this regard, the functions of the National Capital Region Redevelopment Commission, which were mentioned earlier in this chapter, might be recalled.

The Japanese central government gave subsidies to local governments, and both subsidies and loans to private businesses for the purpose of relocation and redevelopment of business and industrial areas.

88. It was agreed that the central government - and state governments, if they existed - must play an increasingly important role in metropolitan administration. However, it was suggested that before any conclusion could be reached as to the appropriate allocation of functions between central and local governments, there was need for considerable further study which the EROPA might well undertake.

/Chapter Five

## Chapter Five

### CITY ADMINISTRATION AND CITIZEN PARTICIPATION

#### XVIII. SCOPE OF THIS CHAPTER

89. This part of the Report is concerned with city administration and citizen participation in urban government. The working group on this agenda subject concentrated primarily on the subject of citizen participation, and dealt with the issues of city government only as they arose out of citizens participation.

90. Although city governments were thought to be comparatively old in all EROPA countries, citizen participation in their administration appeared to be relatively new in ways other than electing members of city bodies or officials. But while citizen participation varied in degree from country to country, there was apparently no difference of opinion on the need to extend and intensify such an experience on the part of the citizenry in order to make urban government more responsive to the will of the people and more effective in solving urban problems.

#### XIX. URBANIZATION AND URBAN GOVERNMENT

91. The extent of urbanization, as shown in the information received, was not uniform among the EROPA countries. On one hand in Thailand only 12% of the population lived in cities; in India, 20%; in the Philippines, 25%. On the other hand, in Japan, the figure given was 64%; in Australia, about 54% of the people resided in the six State-capital cities, two of them, in fact accounting for 37% of the entire population of the country. It was recognized that economic and traditional factors had something to do with the process of urbanization.

92. All the countries reported that while urbanization had created growing problems of a social and administrative nature, on the whole, the growth of cities had been a salutary influence in national life. It was the general feeling, however, that certain problems were bound to arise; some of these problems were regarded as social, such as the growth of slum areas; others were categorized as administrative, such as the need for integrated social services over widening areas.

/93. There



93. There were variations in the character of urban government from country to country.

93.1. The Mayor

The reports revealed four methods currently in use in the selection of city mayors, namely: (a) appointment by the central government; (b) direct election by the people; (c) election by a popularly elected council; and (d) nomination by the city council (itself elected by "functional" groups) and confirmation by the central government.

93.1.1. In Australia and India, the executive authority was vested either in an elected head or an executive officer appointed either by the local body or (as sometimes in India) by the central government. Only Japan and the Philippines had a system of direct popular election for city mayors. In the Republic of Viet-Nam, the mayors (prefects) were appointed by the national government from among high-ranking and experienced officers; in the Philippines, some mayors were appointed by the President. In Thailand, municipal councilors co-opted the mayor from among themselves.

93.1.2 In India, the mayor occupied a "ceremonial" post; while in Japan and the Philippines, he enjoyed full executive status.

93.1.3 There was general agreement that in a country faced by an emergency there would be need for a strong executive, and the government might then justifiably appoint the mayor.

Under normal conditions, however, there was agreement that the mayor should not be appointed by the government. As to the other methods of choosing the mayor, it was the consensus that much would depend upon such predisposing factors as the general political opinion and the governmental system of the country concerned. For example, if a country preferred a presidential chief executive in its constitution, it was likely that the direct election of a strong mayor with full executive powers would also be preferred by the citizens. The method of a mayor's election and the extent of his powers were regarded, however, as a technical problem rather than one involving democratic principles.

/93.2. The

### 93.2. The City Council

An aspect of city government, which was deemed to be of vital importance in connection with citizen participation, was the city council itself. If citizens were to participate in city government, they ought to elect the city council or a substantial number of its members. In a few exceptional cases, it was the practice to add to the city council's elected membership a few other councillors co-opted by the elected councillors themselves or nominated by the government. Such co-opted councillors, it was agreed, should be sufficiently few not to interfere with the effective work of the council, but not too few for the effective representation in the council of special experiences and qualifications.

#### 93.2.1 Salaries

It was agreed that both mayor and members should receive adequate salaries or allowances according to the nature of their duties; otherwise, only the richer persons, or those supported by richer interests, would be able to serve and devote full time to their duties. Opinion was expressed that it might be worthwhile in some cases for the government to give some financial help towards election expenses.

## XX. CITIZEN PARTICIPATION IN CITY GOVERNMENT

### 94. Interest in Elections

94.1. The interest of citizens in elections varied substantially among the EROPA countries. In some cities the turn-out of the qualified voters during elections was over 80%, while in others it was less than 50%. There was agreement that even where the voting percentage was high, the further intensification of voters' participation could and should be improved.

94.2 Generally, among the EROPA countries most voters tended to show more interest and sophistication in national elections; voters in Japan and the Philippines were notable exceptions, as in these two countries local elections seemed to arouse the greater enthusiasm of the citizenry.

/94.3. In

94.3. In general, the voters tended to support particular party candidates, nominees of political parties, or nominees of particular interest groups, rather than the interests of the city as a whole.

95. Referendum, Initiative, and Recall

It was reported that the referendum, initiative, and recall were not practised in the Philippines, India, Australia, Thailand, and the Republic of Viet-Nam. In Japan, however, a number of techniques were available to citizens for participation in the political process - such as petitions for the enactment, revision, and abolition of by-laws; petitions for inspection; petitions for the dissolution of the council; requests for recall of council members; and petitions for the recall of chiefs and other high-ranking personnel. It was noted, at the same time, that their use had been fairly infrequent. In the Republic of China, the recall and the referendum existed and the initiative was planned for implementation.

96. Political Parties

96.1. Australia reported that national party politics entered the municipal elections in some states, and that the local party divisions reflected the party divisions in the state and national levels, although generally the campaigns were conducted locally. In the Republic of Viet-Nam, political parties likewise operated on the local level, and their role was expected to become increasingly significant. In Japan, it was usual for nationally-organized parties to announce their respective platforms on local government to coincide with local elections. In India, it was observed that national political parties usually took some interest in local elections. In Thailand, it was reported that no political party competed in municipal elections.

96.2. On the whole, it was felt that the intervention of national political parties in local and city elections might be undesirable, but also, to some extent, probably inevitable. The view was expressed that where it occurred it should only be on the basis of well-thought-out programs designed to meet local problems. Thus:

96.2.1. National political parties should devote more attention in their programs to local problems; and

/96.2.2. City

96.2.2. City improvements associations and similar local groups could be made more active than at present.

96.3. It seemed that candidates were spending more and more money in political campaigns. This was reflected by the effort of national governments to fix the maximum campaign expenditures allowable. In the Republic of Viet-Nam, the national government budget included an allotment to underwrite the campaign expenses of candidates.

#### 97. Instruments for the Expression of Public Opinion.

97.1. In the local governments of all EROPA countries newspapers were reported to have played an active part as a medium for the expression of popular opinion.

97.2. The role of radio and the television as communications media differed from that of the newspaper according to whether or not they were state monopolies.

97.3. There were formal arrangements that enabled the city administration to receive and act upon public complaints. In some countries, citizens voiced their complaints mainly through their elected representatives, rather than through letters to the authorities.

#### 98. Training and Civic Education

98.1. Most countries had programs of varying kinds for the training of city government officials. In general, training facilities for non-permanent officials and citizens were less prevalent. Conferences provided a form of training for mayors. In Japan, the training of mayors was institutionalized through its College of Local Autonomy; in other countries, through Institutes of Public Administration and Local Government.

98.2. As regards the general body of citizens, it was the tendency in all countries to rely primarily upon general education to prepare them for participation in local government affairs, rather than on making available to citizens specialized courses on problems of city administration. Some political parties, nevertheless, conducted training courses for their members.

/99. Elective

99. Elective Membership in Smaller Units

In Japan, small sub-units of city administration which elected their own heads were becoming a regular feature of local city government. This form of citizen participation was apparently not widespread among the countries reporting, but its value was believed to be gaining acceptance.

XXI. NATIONAL-CITY RELATIONS IN THE CONTEXT OF CITIZEN PARTICIPATION

100. The feeling seemed to be widespread among members of the working group that, in the interest of citizen participation, the central government should not control the expenditure of grants made to city authorities except to ensure satisfactory audit. Where the legislative, administrative, or financial powers of urban councils were restricted by the national government, the extent of citizen interest was apt to be correspondingly limited.

/Chapter Six

Chapter Six

LOCAL GOVERNMENT AND ECONOMIC DEVELOPMENT

XXII. THE ROLE OF THE CENTRAL GOVERNMENT AND THE LOCAL GOVERNMENTS IN  
THE FIELD OF ECONOMIC DEVELOPMENT

101. The reports showed an awareness that the central government and local governments had their own areas of responsibility in the field of economic development and that there needed not be any incompatibility between a highly centralized system of administration and an extensive role for local governments.

102. There was likewise cognizance of the difference between economic planning and policy executive or implementation. It was appreciated that the preparation of an overall policy on national economic development was a paramount responsibility of the central government; but it was also strongly held that the national planners should not overlook the interests of local governments. Accordingly, it was thought desirable that the central government should attempt to integrate with national plans the intentions and objectives of the various local governments. The view was generally accepted that the central government also had the primary responsibility of creating and maintaining, by legal and other means, a climate favorable to the successful implementation of economic programs at the lower levels of government.

103. The view was underscored that national economic plans should be subjected as little as possible to partisan politics; in other words, the work of all the people involved in the preparation of plans and their implementation should not be disrupted by changes in the national political leadership.

104. It was deemed desirable for local governments to be regarded as partners with the central government and other national government agencies directly involved in any economic development program, particularly during the execution of such programs.

105. But even in the program implementation phase, it was thought that the central government should provide the necessary leadership and impetus. Moreover, the central government should extend assistance to the local governments according to their respective needs in the form of supplying research and statistical data for planning purposes, at the same time that it should make

/available

available technical and financial aid, and coordinate the activities of all government agencies involved in economic program implementation. In this connection, the sentiment was expressed that it was the special responsibility of the central government to help the less developed local units.

100. The reports stressed that the local government officials should see to it that the people were in a position to help implement economic development projects. This meant that at each level of government there should be an organ responsible for conducting a continuing study and research on economic potential, resources, and general local conditions. This body, it was said, could very well serve also as a planning board. The report emphasized that local government personnel should make the people realize that the government could not do everything for them and that they were being asked to participate in development projects for their own benefit.

107. The working group said that it was desirable for the local governments to know what they needed or what was good for them, to be able to convince the upper-level planning bodies of their ideas and thus participate, even only indirectly, in the preparation of over-all economic plans.

XXIII. PATTERNS OF CENTRAL AND LOCAL GOVERNMENT RELATIONSHIPS IN THE FIELD OF ECONOMIC DEVELOPMENT

Among the countries reporting, there emerged three general patterns in central-local government relationships as regards economic development.

108. The Republic of Korea, Laos, the Philippines, Thailand, and the Republic of Viet-Nam presented a pattern whereby the central government planned, executed, and financed economic development programs. In all these countries, the local governments exerted minor roles in economic development. Their participation in the preparation of economic policies and plans was practically nil. The local government units were regarded as more instruments for the implementation of development projects. The lower units rarely financed projects for lack of funds; necessarily, therefore, most of the projects were financed by the central government. This was true even in such countries as the Philippines and Thailand, where the local governments had been given by law relatively more powers and authority to make them partners with the central government in accelerating economic growth.

/109. The



109. The second pattern was exemplified by Japan, where the local government units had been given ample powers. The central government's role was confined to the laying down of over-all economic policies and the promulgation of laws to implement them; then it was a simple matter of giving adequate financial and technical assistance to local governments in the execution of local government economic development projects in accordance with a system of priorities. This meant that the local government units (prefectures, cities, towns, and villages) had much discretion in preparing, financing, and implementing economic development plans within their respective territorial boundaries. The prefectures, for example, enjoyed ample powers in planning and executing economic development projects; they conducted their own research and study, prepared their own master economic development plans, and executed them with their own resources and the resources of private business, although such plans were required to be coordinated with the development plans of the national government for the over-all economy. In the preparation of over-all economic plans, the Japanese central government took into basic consideration the intention and objectives - in other words, the welfare - of the local governments. This system was worked out under conditions of highly developed local autonomy.

110. A third pattern was provided by the practice in India and the Republic of China. In both these countries, the central government formulated the over-all policies and plans while the local government units implemented the projects designed to achieve the economic objectives. There seemed to be some degree of difference, however, in the extent to which local governments were involved in the planning stage. In India, the Union plan was based on the various state plans; in the Republic of China, the local government plans needed to be approved by the National Assembly. In both, local governments had plans and projects of their own which they implemented in coordination with the national over-all projects.

XXIV. THE NATURE AND SCOPE OF LOCAL GOVERNMENT ACTIVITIES FOR ECONOMIC DEVELOPMENT

111. The working group observed that, in general, local governments in the various countries, with the exception of Japan, did not play a significant role in economic development. They did, however, undertake, in varying degrees,

/projects such

projects such as feeder roads, water supply, communal irrigation systems, and cottage industries. The central government still undertook the major economic development projects, such as constructing and maintaining dams, roads, ports, and harbors.

112. The working group pointed out at least three interrelated factors which determined the nature and scope of the economic development activities of local governments.

112.1. One of the factors concerned the degree of self-government extended to local government units. There was said to be a direct relationship between local autonomy and citizen participation in economic development activities. In the past, countries with a highly centralized system of political administration, such as the Republic of Korea, the Philippines, Thailand, and the Republic of Viet-Nam, played very minor roles in economic development programs. Japan, even before the Second World War, had already reached the stage where the local government units participated actively in economic development activities.

112.1.1. It was observed that in recent years, inspite of the move towards decentralization, the EROPA countries, except Japan, seemed to be still working under restrictive conditions. By and large, in the Republic of Korea, the Philippines, Thailand, and the Republic of Viet-Nam, the local governments were concerned, although on a relatively small scale, with such economic development activities as improving transportation and communication facilities, providing public utilities, improving local sanitary and health conditions, and engaging in localized public works projects.

112.1.2. On the other hand, prefectural levels of government in Japan were reported to have extensive authority over matters which were considered large-scale, such as land preservation.

112.2. Another factor was related to the amount of resources available to the local governments in their pursuit of economic development projects. Communities or government units with meager financial, physical, and technical resources were unable to perform certain services although empowered to engage in more extensive economic development activities. This was evident in the

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case of the Philippines and Thailand where, relatively, the local governments possessed more extensive powers than local governments in the Republics of Korea and Viet-Nam. Most of the provinces, cities, and municipalities (or communes) in the Philippines and Thailand were unable to perform all the services for economic development for which there was legal provision, mainly because of the lack of funds and properly trained personnel.

112.3. The third factor arose out of the economic system of the country as a whole. Economic systems of the EROPA countries ranged from free enterprise to controlled economy. In Japan, where the former system was followed, the local governments were permitted a relatively greater role in economic development programs. Entrepreneurs were less restricted in assisting local governments in devising their economic plans.

112.3.1. But even in countries apparently operating under a system of free enterprise, the role of local governments was limited to the extent that their activities in planning, financing, and implementing economic development projects were regulated and controlled by the central government.

112.3.2. In the Philippines, the function of central government control was assigned to the National Economic Council. In Japan, it was performed by the Economic Planning Agency, although its powers did not embrace effective coordination or supervision, partly for the reason that the Agency had no field offices.

#### XXV. A SURVEY OF ECONOMIC DEVELOPMENT EXPERIENCES OF LOCAL GOVERNMENTS OF VARIOUS COUNTRIES

The following is a summary of the experiences of local governments among the EROPA countries in their programs of economic development, as gathered from the various national, working group, and final reports.

##### 113. India

113.1. Since the 1880's the role of local governments in urban and rural economic development in India had generally been an indirect one. During the past ten years or so, increasing attention had been given to the economic development of rural areas through the village panchayats (councils) and the community development program.

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113.2. The Third Five Year Plan (1961-1966) provided that "in the next phase of the planning, as many towns and cities as possible... should come into the scheme of planning in an organic way, each city mobilising its own resources and helping to create the conditions for better life for its citizens."

113.3. The main functions of local institutions in India were to provide for roads and works (except where these were done by the State Public Works Department); drinking water supply; industrial water supply (but not irrigation water supply which was undertaken by the State Government); transportation; development of urban land for housing and industries, provisions for electricity; housing schemes for low-income groups; markets; sanitation and conservation of public health; parks; etc. In the case of some bigger corporations, milk supply, electricity and transport facilities were provided by undertakings set up as separate "entities" or "wings".

113.4. In the rural areas, the development activities undertaken by district boards were, until recently, confined to the provision for primary and secondary education, construction of roads other than highways, and management of public health and charitable institutions. In recent years, the district boards were abolished in some states, and a three-tier system of popular institutions had emerged. The development activities falling within the purview of the new popular bodies in the rural areas included agriculture, production, animal husbandry, rural industries, cooperatives, community irrigation works, reclamation (including soil conservation control); bunding, fisheries, local forests, and assistance to the economically weaker sections of the village community.

/114. Japan

114. Japan

114.1. While local governments in Japan before World War II undertook a few projects concerned with economic development, after the war the various projects aimed at accelerating local economic development acquired an increasingly important priority in local administration. With regard to land development, the Over-all Land Development Law, passed in 1950, opened to local governments a new approach to economic development. There was a general trend towards local government initiative in drafting their own plans and projects for economic development.

114.2. At first, development included the construction of multi-purpose dams to increase the supply of electric power, and forest cleaning, land reclamation, and land improvement to increase the food supply. Recently, there had been emphasis on the expansion of the country's industrial base as well as on attracting big industries. The goals are to strengthen the economic structure of the area and to boost the income of the inhabitants.

114.3. The local governments, in advancing economic development, were giving more attention to the welfare of the inhabitants in the social, labor, and educational fields. Specific activities included (1) land preservation - river control, antiflood measures, reforestation, conservation of coastal area, and counter measures against land subsidizing; (2) improvement of transportation facilities, road construction and repair, improvement of port facilities, and the launching of transportation projects; (3) promotion of agriculture, forestry and fishing industries; (4) promotion of mining and manufacturing industries and commerce - through the supply of industrial water, and electric power, the attraction of the big enterprises to local districts, measures for medium and small-sized enterprises, the promotion of commercial trade, and tourism; and (5) improvement of city facilities - through city planning, and provision for housing, water supply, sewerage system, sanitation facilities, and gas supply.

/ 115. Philippines

115. Philippines

115.1. In the Philippines, the role of local governments in economic development did not acquire significance until the post-war years. In 1957-1959, three laws were adopted which were intended to encourage local governments to play a more effective role in economic development. But even under these new laws, local government authorities remained handicapped in their economic development activities. The lack of funds and other resources delayed or prevented the construction of provincial or municipal roads, streets, bridges, ferries, levees, wharves, or piers, and airfields; the establishment of market place, and breeding centers for animals; the construction of artesian wells, dams for water supply and electric power, irrigation canals, drainage systems, cesspools or sewerage systems, and abattoirs; and the construction and maintenance of railways, conduits, and telephone lines across public property. Local governments also had restricted powers as well as limited funds for the adoption of zoning and subdivision ordinances; the execution of provincial, city, and municipal public works projects; the undertaking of cooperative enterprise that would improve the economic conditions and well-being of the (barrio) residents; and the reclamation of foreshores for harbor and docking facilities, wharves, piers, roads, and other public improvements.

116. Thailand

116.1. In Thailand, the Municipality Act of 1933 extended the functions of municipalities to include economic activities. In 1959, Thailand had 117 municipalities which engaged in many aspects of economic development work; e.g., electrical services, provision of water supply, and the construction of roads and bridges. Since 1958, municipalities had been working in accordance with the national economic development plan.

116.2. In Thailand, there is a distinction between local self-government units and local state government units. The former, composed of municipalities and the like, was limited by law to provide about 20 kinds of public services.

/ Accordingly

Accordingly, they could not formulate policies that were outside the scope of these services. The latter, composed of the field offices of the central government had a relatively wide responsibility in advancing the economic growth of the region. And, to this end, could initiate some new programs.

116.3. The activities of local self-governments and local state governments which related to economic development were as follows: maintenance of roads and waterways; keeping of roads, pathways, and public places clean; disposition of refuse; provision and maintenance of waterworks; drainage; electrification or other forms of lighting; provision of markets, ports, ferries, burial grounds and crematories; and promotion of trade enterprises. In addition, the local state government ran the newly instituted community development programs.

117. Republic of Viet-Nam

117.1. Before French hegemony, mandarins governing local areas recruited manpower for developing new lands, establishing new settlement centers, and replenishing public granaries to meet famine contingencies and to stabilize the price of paddy. The mandarins generally assisted farmers by extending loans and distributing seeds. They also encouraged the establishment of handicraft industries.

117.2. From the second half of the nineteenth century to the outbreak of World War II, local governments, in addition to their traditional role, were entrusted with the construction and maintenance of means of communication (river and land), dikes and other irrigation works, and market places.

117.3. Since 1954, the central government, with the aid of contributions from local government units, had financed the construction of small rural engineering works and the implementation of projects of local interest.

117.4. It was reported that, in recent times, local governments gave much attention to the maximization of the utilization of existing productive capacity and economic resources. Great importance is attached to increasing agricultural production, adopting new agricultural techniques, diversifying

/ production,



production, encouraging the development for handicraft industry, and the establishment of new industries utilizing raw materials available in the local areas.

117.5. The specific functions of provincial administration included flood control; road construction; maintenance and development of water resources; formation and conservation of soil; cultivation and improvement of land; and improvement of port facilities, transportation, and housing.

XXVI. PROBLEMS CONCERNING THE ECONOMIC DEVELOPMENT ACTIVITIES OF LOCAL GOVERNMENTS

118. Finance

118.1. The working group observed that the primary problem of local governments in executing economic development plans appeared to be the lack of adequate funds. In Japan, where the local governments had a relatively wider latitude in the exercise of the power of taxation, they still received financial aid from the central government in the form of allocations and subsidies. This system worked to the advantage of the local governments, as they could then attract manufacturing or industrial concerns by giving them tax exemptions on fixed assets (property) within the first three years of their establishment. The local governments could also float bonds to finance economic development projects.

118.2. The experience in the Republic of Korea, the Philippines, and the Republic of Viet-Nam indicated that, in general, their local governments had a narrow base for taxation. Although the local governments received financial aid in the form of allotments and subsidies from the central government, apparently only a small proportion of such aid was spent directly for economic development activities. For example, the local governments in the Republic of Viet-Nam, the Philippines, and Korea spent on economic development projects only an average of 30%, 19.2%, and 19.4%, respectively, of their total income from all sources. However, for economic development purposes, local governments in the Philippines could float bonds and borrow money from government-lending institutions.

/ 118.3. The reports

118.3. The reports said that, in trying to solve the problem of insufficient funds, the possibility of foreign financial and technical assistance should not be overlooked. The case of the reclamation project in Osaka Prefecture and Osaka City in Japan was cited. In this particular instance, the local government officials took the initiative by conducting private exploratory talks with West German officials before the Japanese Government formally endorsed the project; the local government officials also played a leading role in the final negotiations. The Ministry of Foreign Affairs extended various kinds of assistance during the negotiations. The case of the Asia Foundation and Ford Foundation giving funds directly to local government officials to help finance specific small-scale local government projects, such as the building of feeder roads in Laos, was also mentioned.

119. Leadership and Personnel Efficiency

119.1. Foreign financial and technical aid brought into sharp focus the need for developing leadership among local government personnel, the reports noted. Even if the powers of local governments were limited, still economic progress could be generated (as in the case of home industries in the Republic of Viet-Nam) if their leaders had the ability to make the people identify themselves with economic development projects. Under such a hypothesis, it was observed, the question arose as to where to start training to achieve efficiency. If the local governments were given a role in the development of the economy, no matter how minor that role might be, the local people who were directly involved in the implementation of economic development plans must be efficient.

119.2. This, it was noted, pointed to the fact that recipients of foreign aid had a responsibility for creating a favorable climate and of "putting their own house in order." Cases were cited where in foreign aid technicians arrived at a certain country expecting to be able to work at once, only to find out that either they had to wait for the economic plans to be put into final form or they had to gather the information or data needed for the planning themselves. This situation prejudiced not so much the donor as the recipient country itself.

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119.3. It was observed that, in many of the EROFA countries, confusion often resulted from the lack of coordination among statistics-gathering agencies and from the lack of a uniform standard for projecting the data gathered for planning purposes. In these countries, either there was no planning, or if there was, the plans were not based on empirical or statistical data. Japan was the exception because there were research and planning bodies in the local government units.

#### 120. Jurisdiction Over Industrial Sites

120.1. In most countries, it was reported, both the central and local governments did not have the necessary powers to prevent speculation in areas designated or being planned as industrial sites. Even if the government had the authority to purchase privately-owned lands for industrial purposes, the machinery for expropriation was usually slow, cumbersome, and expensive. Also, in a country like Japan, where land ownership was at a premium, there were socio-economic effects of the displacement of households which needed to be considered. The net result of all these was the slowing down of industrial dispersion to economically-backward areas.

#### 121. Coordination with Other Organizations

121.1. Another problem, it was observed, was that of having other organizations engage in economic development activities. This was said to hinge (1) on the presence or lack of coordination among national government bodies and between said national government bodies and local governments, and (2) on whether or not the work of such national bodies encroached on the autonomy of local governments. For example, there were offices for community development, agricultural extension services, and agricultural cooperatives in the Philippines, the Republic of Korea, and Viet-Nam. These national government bodies maintained regional or field offices. The problem that arose was that, although these field offices had analogous objectives and functions, they usually did not coordinate their activities among themselves nor with local government officials. The result was unnecessary and wasteful duplication of efforts.

/ 121.2. Nevertheless

121.2. Nevertheless, it was said that regional economic development offices did not necessarily infringe on the authority of local governments in the field of economic development, so long as the activities of the local governments were within the general framework of regional and national plans.

122. Establishment of Government Corporations

122.1. It was noted that many governments established public or quasi-public corporations on the supposition that such institutions were good instruments for accelerating economic growth. The rationale behind this was that there were economic development activities which private business did not, or could not, engage in for either of two reasons: (1) the amount of capital needed was beyond the capacity of private business to put up, or (2) no one in the country had ever engaged in it. In addition, it was assumed that government corporations were going to function like private corporations in that they would be free from the usual stringent rules and red tape obtaining in regular government bureaus and would be able to attract good personnel because of the relatively higher salaries that they offered. But in actual operation, government corporations did not necessarily prove to be more efficient, economical or effective than regular government agencies.

XXVII. IMPLICATIONS OF ECONOMIC DEVELOPMENT ACTIVITIES

The reports pointed out certain social and political implications arising from economic development activities, particularly those connected with industrialization, which was admitted to be the best way of accelerating economic growth. Among them were:

123. Industrialization resulted in creating a disparity of per capita income between industrial and non-industrial workers. This meant that the government might have to fix price levels for agricultural products, as in the Philippines and the Republic of Korea.

124. The concentration of industries around strategically situated areas and in places where water supply, power, and raw materials abound resulted in mass movement of skilled population from the rural area into these areas. This meant (1) the loss of manpower for agricultural and local  
/ government

government activities in the rural areas, and (2) the multiplication of housing, transportation, communication, and sanitation problems in the urban centers.

125. The reclamation of foreshore lands and the expropriation of agricultural lands for public and industrial purposes, might possibly have adverse economic and social effects on fishermen and farmers.

126. The central government had to continue extending grants-in-aid and subsidies to poorer local governments in order to offset the economic advantages of other areas. This might have a curtailing effect on local self-government when the central government imposed conditions before it extended financial assistance.

127. While the great powers, like the United States, were willing to extend financial and technical aid as a form of international cooperation, the recipient countries had the responsibility of seeing to it that they were prepared to make maximum use of such aid. This had both internal and international political implications.

#### XXVIII. EROPA AND FUTURE TRENDS OF ECONOMIC DEVELOPMENT

It was observed that the EROPA, with its own limited resources or with the aid of international organizations or private foundations, could become an instrument in the hastening of economic development in the EROPA region as a whole. The working group on the subject of local governments and economic development recommended the following points for consideration of policy-makers of the EROPA:

128. The EROPA should conduct a continuing regional basic research program which could pool together the knowledge of experienced researchers of the member countries. Through the Research Diffusion and Documentation Center in Saigon, research designs could be prepared and/or integrated. The questionnaires being sent to the various countries could very well be the basis of research projects of qualified institutions or individuals in those countries. A pool of experts could then be asked to integrate, synthesize, and even evaluate the answers to the questionnaires. The result would be up-to-date  
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compilation of information which could be of practical use in economic development planning and implementation in the various EROPA countries.

129. The EROPA should also sponsor regular exchanges of information on economic development concepts, trends, and techniques through:

129.1. Informal conferences of experts (that is, of people above the technician level) on specific problems concerning economic development. These conferences should be actively supported by the governments of the EROPA countries and only persons directly concerned with policy-making and knowledgeable in the subject matter should be sent to attend them. The reports stressed that this would ensure that the various countries would receive maximum benefit from such conferences. For example, a conference could be held to discuss and arrive at solutions and alternative solutions to problems such as speculation, statistics-gathering and projection for planning purposes, communication techniques to make the people identify themselves with economic development projects, and the proper structuring and utilization of government corporations for economic development activities.

129.2. Freer exchange of technical information bulletins and literature on various aspects of economic development projects.

129.3. The establishment by the EROPA of a Local Government Training Center in Tokyo. This Center should avail itself of the services of experts not only from Japan but also from the other EROPA countries in the training of local government personnel, particularly in the planning and execution of economic development projects.

130. The reports proposed that the EROPA should explore the possibility of facilitating the intra-regional extension of financial and technical aid from the more advanced countries, such as Australia and Japan, to the needy countries and their local governments. For example, it was suggested that EROPA might find a means by which local governments could avail themselves of the technical knowledge of the Japanese in cottage industries. The EROPA should also try to facilitate the extension of such aid from international and private foundations.

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FOR PARTICIPANTS ONLY

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COUNCIL - CITY MANAGER GOVERNMENT FOR ASIA AND THE FAR EAST

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express the views of the United Nations.



COUNCIL - CITY MANAGER GOVERNMENT FOR ASIA AND THE FAR EAST?

U.N. ECAFE SEMINAR CONFERENCE

NEW DELHI, OCTOBER, 1963

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An Information Paper for the UN ECAFE Conference, New Delhi, India, October 1963

No local government invention of the West has more thoroughly captured the imagination and interest of students and practitioners of municipal government in the ECAFE region than the Council-City Manager form of government. There are several reasons.

The rapid increase in the number of city manager cities has taken place at an astounding rate. Unlike most skyrocketing innovations, this one has not fizzled out and its success has been as spectacular as its rise. Within this century nearly 2,000 cities in the United States and Canada and 1,800 cities in Europe have adopted it. A form of government successfully at work in nearly 4,000 municipalities is worthy of serious consideration for its potential usefulness in the ECAFE region.

The popularity and appeal of the professional administrator as chief municipal executive comes from the recognition that our modern municipalities are complex organisms requiring full-time, professional career, administrators. The trained city manager, selected by the local governing body because of his intimate knowledge of municipal government offers a partial solution to the baffling complexities of the executive function in modern cities where administration ranges over amazingly complex subjects.

In essence, the city manager is a linguist. He is able to speak the language of today's urban specialists in housing; urban renewal; recreation and park management; public health; social welfare; highway engineering; sanitary engineering; police, fire and hospital administration; finance, revenue and tax administration; personnel; public works; intergovernmental relations; city planning, and a whole host of sub-specialities that the average elected Mayor cannot hope to be informed about. Without administrators who can talk the professional language of each of these specialists and weld discussions into a cohesive program for policy considerations by the governing body, ECAFE municipalities will find it increasingly impossible to cope with the myriad problems afflicting them. The City Manager is the brightest hope in sight for a municipal linguist who can talk knowledgeably about cholera control measures with his public health experts at 0900; plan juvenile delinquency control measures with social welfare and police officials at 1000 hours; and, in between make informed judgements on site distances for a new roadway and the percentage of slope on a planned sewer outfall line.

It is the City Manager's job to identify feasible alternatives, influence people to make a choice by democratic consent and then guide action toward the achievement of chosen goals.

Self-government for ECAFE municipalities is motivated by mankind's inherent desire for freedom. However, political freedom is not guaranteed at the polls. Elections are important for putting into or out of office, officials in response to the public weal and will. But, municipal government is not concerned with party politics. It is concerned with solving problems. A government's ability to respond promptly, wisely, effectively, efficiently and economically to problems -- problems which the electorate freely decides it wants solved -- makes that government an instrument of political freedom. As the capable city manager of Phoenix put it: "The combining of the representative political function and the highly skilled management function exemplified in the Council-Manager form of government has given municipal government a new dimension: response-ability." This lies at the heart of the appeal of city manager government to the ECAFE region. It is a form of municipal government which best promises response-ability; quick and sensible responses to local problems.

The Council-City Manager form of municipal government resolves the apparent conflict between democracy and efficiency. Democracy is preserved in the popular election of a small Council. Efficiency is achieved by the employment of a city manager professionally trained for the technical job of administering today's urban areas. The Council-Manager Plan stresses the unification of powers in a single elective body --- the City Council --- rather than the legislative-executive duality characteristic of Mayor-Council cities, Commission cities, provinces and national governments. This has been the most important contribution of Council-Manager government to the political theory and practice of 20th century municipal government.

There are three main principles in Council-Manager government:

(1) A small Council is elected at large on a non-partisan ballot. The Council holds the power to determine all municipal policies, adopt ordinances and bye-laws, adopt the budget and appropriate funds. The Council performs all the usual legislative functions of a municipal governing body and gives articulate formal expression to the public consensus. By entrusting and controlling administrative prerogative to the Manager, the Council is relieved of a multitude of non-legislative duties which detract from its fundamental purpose as the governing body. Freed from these chores the Council can better maintain its public perspective and political integrity, can better comprehend and weigh all points relevant to the public interest and can better appraise and measure administrative performance.

(2) The administration is centered on an appointed, trained, career professional official selected by and responsible to the local City Council for the execution of Council policies and efficient administration of the city. The Council is the governing body. The Manager is its agent in translating its policies into operating programs. The Manager provides professional administration in governmental operations in accordance with laws and general policies determined by the people's elected representatives on the City Council.

(3) The use of the "short Ballot" does not overtax the attention which citizens usually bestow upon government. The short ballot offers an opportunity for selecting qualified personnel instead of haphazardly electing anyone to manage the city's business. The trend in the West, for many years, has been away from the long ballot in full realization that a popularity contest is a poor way to pick a school superintendent, a public health officer, a water system engineer or anyone else who needs technical skills and managerial ability to solve today's urban problems.

The role of the City Manager is to be the chief administrator / executive of the city. The Mayor does not share in the administrative duties of the Manager, nor do individual members of the Council. The Council deals with administration only in a formal manner through the city manager. Administrative functions are not delegated to individual members of the Council or to Council Committees. The exercise of administrative authority is concentrated in the appointed executive who is accountable to the Council as a whole and not to individual members or groupings of it. He provides the Council with information which enables it to determine municipal policies and executes the policies determined by the Council. He can introduce the best principles of advanced administrative organization and practice, and he is held responsible for the proper coordination of all administrative activities.

The duties of a city manager, broadly stated, generally include:

(1) to see that all laws and ordinances are enforced; (2) to exercise control over all departments and in accordance with personnel regulations appoint, supervise and remove department heads and subordinate employees of the city; (3) to make such recommendations to the Council concerning the affairs of the city as required or as may seem to him desirable; (4) to keep the Council advised of the financial condition and future needs of the city; (5) to prepare and submit the annual budget to the Council; (6) to keep the public, press and Council informed through reports to the Council regarding operations of the city government; (7) to institute programs for the organization, management and measurement of municipal services; (8) to manage and administer municipal property; (9) to perform such other duties as may be prescribed by the charter, laws or required of him by the Council.

One reason for the success of the Council-City Manager plan is its simplicity. The voters elect the Councilmen. The Council appoints and may remove the trained administrator, the Manager. The Manager appoints and may remove all department heads. Subject to civil service provisions, he is responsible for the selection of other administrative employees. Although the Council may fire the Manager at any time, it may not interfere with his appointments or dismissals, nor can it go over his head by giving orders directly to employees.

So successful has the plan been in the United States that one-half of all U.S. municipalities with more than 25,000 population now have the Council-Manager plan. Of particular relevance to the ECAFE region is the fact that about one half of all the Council-Manager cities in the world have populations below 10,000. The plan is growing quite rapidly and its growth demands further investigation for its applicability in the ECAFE region:

#### CHANGES IN FORMS OF GOVERNMENT IN AMERICAN MUNICIPALITIES 1938-1963

##### Percentage of Each Form in U.S. Cities Over 5,000

<u>Form of City Government</u>	<u>% 1938</u>	<u>% 1963</u>	<u>% Change</u>
Mayor and Council System .....	67½%	50%	-17½%
Commission System .....	16%	12%	-4%
Council-City Manager System .....	16½%	37½%	+21%
Strong-Mayor Administrator System ..	0%	¼ %	+¼ %

The growth of the plan is the result of three irreversible trends which are now in their initial stages in the ECAFE region: industrialization, specialization and urbanization. Every local government administrator in Asia and the Far East has felt the primary impacts of these trends and continuation is clearly marked for the future. The way a city responds to these needs is the measure of its success. It was succinctly stated more than 2,000 years ago by Aristotle:

"A city too, like an individual has work to do;  
and the city which is best adapted to the fulfillment  
of its work is to be deemed greatest ..." 1./

Most of today's urban services were not considered municipal functions in the West until this century, and they are only now beginning to become part of the thinking of local government

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1./ Aristotle (384-322 BC) Politics, VII, ch. 4

officials in the ECAGE region. Today's municipal problems are centered around such things as social welfare activities, health centers, day care nurseries, maternal and child health centers, modern markets, youth centers, urban renewal, city beautification programs, modern low rent public housing projects, parks, libraries, recreation and sport grounds, slum clearance programs, industrial and economic development programs, special facilities and services for the young and the aged, vocational training and a whole host of modern municipal functions that call for expert administrators and technicians.

The Council-City Manager plan is a tested form of municipal government suited for fulfillment of these purposes. There is no political-ly partisan way to build fire stations, pave streets, collect garbage or zone property. There is an expert and technically sound way. ECAGE municipalities might profitably investigate the Council-City Manager plan as a way toward achieving urban goals.

One of the basic tenets of Council-City Manager government is the fact that his services can be terminated by the Council on short notice. His job is "on the line" at all times. A professional manager views this hazard with professional pride. His job insurance rests not on civil service laws or political sponsorship but upon a high standard of performance, impeccable personal ethics, a keen sense of public morality and the integrity of an incorruptible workman. All of this is woven into his professional administrative ability and skills. A distinguishing feature of the City Manager profession is the City Manager's Code of Ethics to which he subscribes. The Code spells out his relationships to the public, Council and administrative organization of the municipality. 2.

Of particular relevance to ECAGE's consideration of Central Services to Local Government at the New Delhi Conference in 1963, is the modus operandi of a professional city manager in the performance of his duties. A professional city manager believes in:

- (1) The solution of local problems at the local level with local leadership.
- (2) The optimum utilization of community resources consistent with the needs and desires of the community.
- (3) A fully informed public capable of understanding community issues and making decisions within the democratic framework.

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2. See Appendix: The City Manager's Code of Ethics.

- 2
- (4) The application of a wide range of scientific, technical and professional "know-how" in coping with the essential services and programs of a modern urban community.
  - (5) The creation of urban communities which express the ideals and realize the potentials of a responsible society.

Local government officials in the ECAFE region may well ask the question: "where are these professional, technically trained, career municipal administrators to come from?" In an area where there is a severe shortage of technicians and professionally competent personnel across wide ranges of national development, is it realistic to assume that such men will be forthcoming?

I believe the answer comes in three parts. First, the intellectual and moral capabilities of Asian people are no less than those of people living elsewhere. The human raw material is present. It needs to be processed. The processing consists of education and training. If we are to have a corps of professional municipal administrators in the ECAFE region its education and training programs must be stepped up a hundredfold. To be effective, the education and training must be carefully planned and sensible curriculums devised to train men who have the proper personalities, for the local government administrative tasks which lie before them.

Secondly, we must raise the status of local government service in order to attract capable professionals for careers in ECAFE urban communities. In this area of the world, it is just as important to allocate scarce personnel resources as it is to allocate scarce physical and monetary resources for the improvement of social welfare and increasing the standards of living. Recognition of the need for capable local government administrators is an imperative of national development.

Thirdly, central governments in the ECAFE region must recognize the importance of local government in any scheme or plan for national development. The way in which central governments in concert with ECAFE local governments face up to the demands and challenges of an Urban Age will determine the character and durability of their whole way of life. The extent to which they mobilize physical, financial and human resources to solve community problems is the true test of their resourcefulness as modern societies. Sound application of the principles of the Council-City Manager form of municipal government provides one of the best answers to that test.



## THE CITY MANAGERS' CODE OF ETHICS

To achieve effective and democratic local government, the council-manager plan provides that policies shall be determined by the governing body elected by the people and that the administration of such policies shall be vested in the city manager who shall be appointed by and responsible to the governing body. The purpose of the International City Managers' Association, the professional organization of city managers, is to increase the proficiency of city managers and to aid in the improvement of municipal government. To further these objectives, the Association believes that certain ethical principles should govern the conduct of every professional city manager:

1 - No member of the profession accepts a position as city manager unless he is fully in accord with the principles of council-manager government and unless he is confident that he is qualified to serve to the advantage of the community.

2 - The city manager has a firm belief in the dignity and worth of the services rendered by government. He has a constructive, creative, and practical attitude toward urban problems and a deep sense of his own social responsibility as a trusted public servant.

3 - The city manager is governed by the highest ideals of honor and integrity in all his public and personal relationships in order that he may merit the respect and confidence of the governing body, of other officials and employees, and of the public which he serves. He believes that personal aggrandizement or profit secured by confidential information or by misuse of public time is dishonest.

4 - The city manager as a community leader submits policy proposals to the council and provides that council with facts and advice on matters of policy to give the council a basis for making decisions on community goals. The city manager defends municipal policies publicly only after consideration and adoption of such policies by the council.

5 - The city manager realizes that the council, the elected representatives of the people, is entitled to the credit for the establishment of municipal policies. The city manager avoids coming in public conflict with the council on controversial issues. Credit or blame for policy execution rests with the city manager.

6 - The city manager considers it his duty continually to improve his ability and his usefulness and to develop the competence of his associates in the use of management techniques.

7 - The city manager keeps the community informed on municipal affairs. He emphasizes friendly and courteous service to the public. He recognizes that the chief function of the local government at all times is to serve the best interests of all the people on a nonpartisan basis.

8 - The city manager, in order to preserve his integrity as a professional administrator, resists any encroachment on his responsibility for personnel, believes he should be free to carry out council policies without interference, and deals frankly with the council as a unit rather than with its individual members.

9 - The city manager handles all matters of personnel on the basis of merit. Fairness and impartiality govern the city manager in all matters pertaining to appointments, pay adjustments, promotions, and discipline in the municipal service.

10 - The city manager curries no favors. He handles each problem without discrimination on the basis of principle and justice.



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Paper on  
CENTRAL-LOCAL RELATIONS IN INDIA

by

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CENTRAL-LOCAL RELATIONS IN INDIA<sup>1/</sup>(1) Background:

Local authorities in India fall under two categories, Urban and Rural. The urban authorities comprise (a) Corporations for cities; (b) Municipalities for towns; (c) Cantonments for certain areas which were in the past largely controlled by military establishments; and (d) town-ships for special localities which are health resorts or industrial colonies or other special development areas. There are separate enactments governing the constitution, powers and functions of local administration in these four groups of areas. Local authorities functioning in rural areas are broadly speaking (a) gram panchayats; (b) block or taluk bodies, variously designated as Panchayat Samitis, Unions of Panchayats, Anchalak Panchayats, etc.; and (c) Zilla Parishads or District Development councils at the district level. Thus in the rural areas there is a three-tier system of local administration.

2. Constitution, powers and functions of local authorities:

The constitution, powers and functions of local authorities in india are prescribed by State Legislation. India has

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This paper has been contributed by Shri C. Narasimham, Secretary to Government and Additional Development Commissioner, Government of Andhra Pradesh at the request of the Technical Secretary for the UN/EROPA Seminar.

a federal system of Government in which the States enjoy autonomy in respect of subjects enumerated in the State list and the Union Government exercises powers over subjects in the Union list. Local Government falls under the former list and consequently it is the State Legislatures that have exclusive powers to make laws with respect to the administration of local authorities. Till recently local authorities i.e. Panchayati Raj Institutions and municipalities performed functions which more or less related to local needs like water supply, **drainage, roads,** lighting, other civic amenities, elementary education, public health, etc. There has been no significant changes in the constitution and functions of municipal authorities since the early twenties when they received their democratic character and wider functions. They still continue to perform almost the same functions. But Panchayati Raj institutions have been given during the past three years various functions which were performed by the departments of the Government previously. For instance, Agriculture, Animal Husbandry, rural industries and cooperation have been entrusted to these bodies and for that purpose they function at present as part of the Government. In some cases they execute schemes and works transferred to them by the Government Departments along with funds and staff. Thus since 1959, Panchayati Raj institutions have come to undertake a wider measure of responsibility for the direct provision of services in some fields of economic development. There are associations at the

/ district level

district level of elected representatives of these bodies and there are Chambers at the State level of representatives elected from district associations. These Associations and Chambers generally make suggestions to the Government for amending the Acts in respect of constitution, powers and functions, etc. Suggestions are also made on the floor of the Legislatures with regard to the working of these institutions. The Government take note of the suggestions made and examine them through their experts in the Directorates and in the Secretariat. Sometimes they constitute small committees of experts to undertake a study of the existing conditions and make suitable recommendations. Before Legislation for Panchayati Raj was undertaken by the various States almost every one of them appointed a high-level committee to examine the legislations already in force in other States and to make suitable recommendations having regard to the conditions obtaining in their own State. By and large these bodies to-day enjoy a measure of autonomy with regard to powers and functions transferred to them.

### 3. Financial Assistance:

Finance occupies an important place in the exercise of local Government powers and in their relation to State and Local Government. The nature of financial assistance given to local authorities in India varies from State to State. It consists of:

/ (a) Grants-in-aid

(a) Grants-in-aid for services maintained by local authorities. In so far as such services represent the objectives of National policy as for instance, compulsory primary education, it is accepted that financial assistance should be given to cover almost the entire cost of such service.

(b) Resources transferred to local authorities  
Certain resources like local cesses, magisterial fines, ferries, fisheries, government waste lands, cattle pounds etc., have been transferred to local authorities.

(c) Resources earmarked -- Certain resources like the entertainment tax, duty on transfers of property etc., have been retained under the control of the State Governments but their proceeds are made over to the local authorities.

(d) Ad hoc grants -- Ad hoc grants are also made for development works such as provision for drinking water supply, roads, school buildings, parks etc. These are usually made on the basis of matching contributions from the local authorities and the people.

(e) Taxation powers: -- At the village level panchayats are empowered to levy house tax, profession tax and vehicle tax and charge fees for licensing dangerous and offensive trades. At the block

/ or taluk levels

or taluk levels the local authority can levy a surcharge on taxes imposed by panchayats or on land cess, entertainment tax, shows-tax, etc., contributions from the funds of panchayats for specific works. Similarly Zilla Parishads at the district level may levy contribution from the funds of the Panchayat Samitis for specific purposes.

(f) Under the Five Year Plans assistance both by way of loans and grants is given to local authorities for executing development schemes and programmes included in the Plans. This assistance is met partly by the Central Government and partly by the State Governments according to an agreed pattern.

(g) For implementing the Community Development programme the local authority at the block or taluk level receives financial assistance by way of loans and grants which is shared between the Central and the State Governments.

Corporations and municipalities have their power to levy taxes on property, water supply and drainage, lighting, conservancy, profession, vehicles, advertisements, licensing fees, companies, etc.,. They receive assistance for water supply and drainage works, slum clearance, housing etc; and loans for construction of roads, for remunerative enterprises like construction of markets, cart-stands, slaughter houses, etc. Both in Panchayati Raj

/ institutions



institutions and municipalities powers to raise resources through local taxation have been fairly well used. They often complain that their resources are inadequate and they suggest that there should be State Finance Commissions to review the financial relations between the State Government and local authorities and to make recommendations once every five years as in the case of the Centre and the State Governments.

4. Techniques of supervision and control:

Supervision and control are exercised broadly through:

- (a) prescribed annual inspections by specified officers;
- (b) institution of inquiries on complaints received by officers designated for this purpose;
- (c) quarterly, half-yearly and annual audits carried by an independent agency working directly under the Government.

The approach generally is one of sympathy and help.

The Acts provide for cancellation of the resolution passed by local authorities under certain circumstances. Example -- where the resolutions are in excess of their powers, or likely to endanger human life, health or safety or likely to lead to a riot or affray. There are also provisions for the removal of the presiding officers for abusing the powers vested in them or for the wilful omission or

/ refusal to



refusal to carry out the orders of the Government and for the supersession or dissolution of the local authorities for incompetence or for failure to perform their functions or exceeding or abusing their powers. These powers are rarely exercised and that too after giving a full opportunity to the authority concerned either to explain its stand or to rectify the defects, as the case may be.

5. Forms of technical assistance:

In most cases the technical staff working in Panchayati Raj institutions and municipalities forms part of the Government departments and they are on deputation with these bodies. The rules generally prescribe that these officers are under the technical supervision of their district officers and the State Heads of Departments. Consequently the preparation and execution of schemes and programmes are done with the prior approval of technically qualified officers at various levels. Their supervision ensures proper and efficient execution of works and programmes. Where particular works like a costly bridge cannot be executed by their own staff, the execution itself can be undertaken by the appropriate Government department. Whenever special schemes are undertaken as in the case of intensive agricultural development, suitable technically qualified persons are posted by Government to serve in these bodies. In order to ensure team work in these bodies certain disciplinary control is given to the Chief Executive Officer of the local authority, over the technical personnel working / under him

under him while retaining the ultimate control with the district heads of the concerned technical departments.

6. Help and guidance:

The District Collector or the Divisional commissioner who is the king-pin of the district administration meets all the officers working in the Panchayati Raj institutions frequently at regular intervals, discusses their problems in the presence of their district officers and tries to find solutions and offer possible assistance. Both for officials and non-officials training is provided at various levels under expert guidance with a view to familiarise them with their role, duties, functions, etc. The non-officials and the officials participate regularly in block and district level seminars and regional conferences which are attended to by leaders of public opinion and also officers at higher levels. The Government departments offer advice and guidance on matters referred to them by local authorities or brought to notice by their officers.

7. Control over development works undertaken by local authorities:

Capital development is an important factor in the expansion of services and loans are sanctioned by the State Governments to enable the local authorities to ~~execute~~ execute development programmes. Sometimes they are permitted to borrow loans in the open market. The influence of the State Government over capital development is important, since

/ the amount of

the amount of capital expenditure by local authorities has to be looked at in relation to the total amount of capital expenditure which it is considered practicable and expedient for the State as a whole to incur at any particular time. Another aspect in which the State Government exercise substantial influence is with regard to standard of works carried out by the local authorities. Loans and grants are not given unless the standards come up to those prescribed by the Government.

8. Maintenance of autonomy:

The supervisory control is strictly limited under the provisions of the various Acts governing the local authorities. This control is both administrative and technical. Within prescribed financial limits these bodies are competent to sanction expenditure and where it exceeds the limits they need higher sanction. These higher sanctions in some cases rest with the higher-tier of the local authority and where the limits exceed even the competence of the district-level body Government sanction becomes necessary. In the case of technical control the power to accord technical sanctions rests with officers working in these bodies upto the prescribed limits and where these limits are exceeded, technical officers at district or State-level give such sanctions.

/ Existence of

Existence of Legislative Assemblies and Councils in the States consisting wholly of non-officials who are interested in the autonomy of local authorities is a guarantee against any undue interference with these bodies by the State Government. Often even advice given in some cases by the Government becomes the subject matter of a question in these Legislatures. Government cannot, therefore, afford to do anything which is not completely justified under the Acts and by the facts of the situation. Further, in some States some of the office bearers of these local authorities are themselves legislators. Therefore, the forum of the legislatures is available for bringing to the notice of the public and the Government any unfair interference on the part of the Government or its officers. Although there are political parties functioning in this country and there is rivalry between one party and another as is the case all the world over, usually they unite whenever there is any unjust interference with the autonomy of local authorities. The main purpose of Panchayat Raj is to make the people self-reliant and develop Local leadership. Therefore, the powers of interference are strictly limited and the conditions laid down for such interference have to be completely satisfied before any action is taken against these bodies. No instances of the use of Government power for political advantage cannot but be extremely rare.

9. Assessment of Indian experience

(a) Local authorities have such powers as are given to them under legislation passed by State Governments.

(b) Of late there has been a change in the relationship between the State and the local authorities. To-day this relationship has moved away from that of a subordinate agency or authority to one of partnership.

(c) The range of services assigned to local authorities is such that as far as possible it is concentrated in the hands of a single elected authority for each area. There are therefore no two authorities functioning in the same area in the same field.

(d) The financial resources available for local government authorities under their own control, the proceeds given to them out of certain other resources controlled by the Government and the grants-in-aid made by them year to year are generally supposed to be inadequate to meet effectively the growing demands of local authorities. There is no uniformity in the form and amount of assistance given to local authorities by the various States.

(e) Apart from the Centre giving certain assistance for development schemes of local authorities under the Five Year Plans, there is no other form of assistance which the Centre gives to local

/ authorities



authorities. The feeling is that unless Centre also provides some recurring annual grants to these bodies atleast to meet a portion of the cost of the minimum staff required in these bodies they cannot provide the essential amenities.

(f) The control of officers transferred to work under local authorities has not yet been solved satisfactorily. The district officers feel that they have been given inadequate control over their own technical staff working in local authorities while on the other hand the latter think that their control over them is insufficient and ineffective.

(g) The Ministry of local government is always consulted by other ministries who are administratively in-charge of activities run by local authorities. As such there is no conflict between the Ministries of Government with regard to the functioning of local governments. This is not to say that occasionally there is no difference of emphasis in the attitude of a department which is concerned with the efficiency of a single service and the one which is concerned with local government as a whole and has to keep an eye on it.

(h) There is a feeling that local authorities have not yet been able to make the fullest use of the services of staff working under them.

(i) Local authorities generally take, and justifiably take, a high pride in their achievements and the responsible part which they play in Government.

(j) Local authorities feel that they should be more intimately associated with local Planning and should have a greater say in the fixation of priorities and the selection of schemes.

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\*K.S.M.\*



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Decentralization for National and Local Development

Prepared by  
Republic of China

## Decentralization for National & Local Development

- Also on the "Balance of Power" Political System  
of the Republic of China

### 1. Introduction

Decentralization of local governments and centralization by central governments have become, in the modern political science, a momentous controversial issue. The government is inclined to result in autocracy when overweighed by its centralization while division of power is likely to be split when decentralization is extravagant. This happened so often that history can be the prove; examples can be picked up almost everywhere in the world both today and yesterday.

It is, therefore, some of the students in political science have advocated centralization and, at the same time, other decentralization.

This, in fact, beyond our knowledge to make the judgement as who is right or who is wrong thus creating a hot controversial and yet unsolved issue in the field of political science.

Dr. Sun Yat-sen, Father of the Republic of China, once said, "In politics, there are two forces: (1) force of freedom and (2) force of maintaining public order, which quite resemble the two forces in physics, namely, centrifugal force and centripetal force. Centrifugal force tends to make rotating bodies move away from the center of rotation while centripetal force helps make rotating bodies move toward

/ the center

the center of rotation. The body would be moved at random should centrifugal force be stronger than that of centripetal force. In the case that centripetal force is stronger, the body would be shrunk to the extent that jamming follows. Thus, to maintain the body in a normal state requires balance of these two forces. In politics, excess of freedom leads to a state of anarchy while autocracy results from numerous unnecessary bondages. Political changes in China and foreign nations alike for the past several thousand years have been, in fact, confined to the impact of these two forces".

Therefore, we may feel safe to say to solve this controversial issue resorts to the adoption of Dr. Sun's political invention of Balance of Power Political System with no reservation. In his interpretation for Balance of Power Political System, Dr. Sun said, "Force of freedom and force of autocracy should be like the two forces in physics, equally treated, leaving no room for either of them going to extremist. The body can be maintained in a normal state only when it does not contain simply the centrifugal force or simply the centripetal force. The same phenomena in universe explains that constant balance of the two stated forces is necessary".

This tells invention of Balance of Power Political System is aimed at a balanced distribution of power between the central government and the local government so as to achieve the highest efficiency in government functions thereby individual freedom not inflicting national union and national unification not hampering individual freedom.

This is a new political device which, unmatched as we know, can certainly be served as the highest guiding principle in politics.

While discussing "Decentralization for National and Local Development", it is necessary to touch, in depth, on the political school on Balance of Power upheld by our scholars at home, who in a union voice, agree adoption of which being the only way to solve our today's problem.

## 2. Shortcomings of Decentralization Principle - Decentralization for National and Local Development.

Consequences of absolute centralization by government tend to result in autocracy and dictatorship, whereby, in political thinking and action, initiating an opposite trend and power which, as a result, lead to the inauguration of democracy. It is a pity, however, students of this school and statesmen abiding this school have so far committed another mistake. Introduction of its principles in government administration results in low efficiency and further puts the government in a position that unification can not easily be expected.

In summary, principles of this school in political aspects are seen in the following three ways:

- A. Advocating egoism with emphasis on individual freedom despising the nation's;
- B. Advocating bufferism to prevent abuses of power for fear that their rights might be diminished; and
- C. Advocating polynationism, thus making the nation's position / as equal

as equal as that of other organization's.

The basic point for these principles, though not the same, serves one purpose. That is to prevent the nation or the government from being overpowered so as to avoid autocracy and so to protect individual freedom. To achieve this purpose, on the one hand, they unanimously agree the division of power from the central government among as many organizations as possible. And on the other hand, they suggest heavy responsibilities be placed on the governments of local level on grounds that they believe the local government is bent to be controlled by its people when too access is conducted. By so doing, they commit a common mistake for they fail to distinguish the "political powers" and the "administrative powers", needless to say the christer of definition. In the meantime they neglect that the division of power sometimes divides the national power unable to be divided.

As a result, the government is seen in immoderate decentralization as twice happened in the history of China. It is recalled in T'ang Dynasty, administration in local areas was divided into independent elements according to geographic boundary, and in the early years of the Republic of China government functions were mostly carried out by the district military commanders assigned by the central government. Thus, as history says, led to the creation of many governments within the country and hinders the national unification for further progress.

Under such circumstances, both the central government and the local governments become impotent, unable to secure welfares for the

/ people



people. What the egoism advocates, by their interpretation for decentralization, like individual freedom and social welfares would never become a reality. What more are the following four points, prove of which can be readily elicited from our history:

- A. They take right for another power. So, they interpret decentralization as seizure of power, being a sheer root of all wars. Numerous examples resulting in uncountable property damages and casual ties, which are mostly attributable to the concept of decentralizations, can be picked up in our history.
- B. Immoderate and unorganized decentralization is a reason good enough to cause political unrest resulting in the destruction of the established systems and regulations.
- C. Excessive decentralization disperses national union, thus shocking the national unification and easily inviting invasion from alien nations.
- D. Because of excessive decentralization, which first initiates political unrest and so hampers economic progress, the living standard of people is naturally in a destitute condition.

In view of the above, we may come to the conclusion that decentralization very much precludes both national and local development from flourishing.

### 3. Activation of the Principle of Balance of Power

In view of the shortcomings caused by the utilization of decentralization in

tralization in administration which results in an inefficient and impotent government and for fear that adoption of centralization might lead to autocracy, Dr. Sun Yat-sen had once for all set up the ideal political system by introducing his theory of Balance of Power which, in summary, can be as follows:

- A. The main purpose of the Principle of Balance of Power is aimed at seeking a unique agreement of the various governmental establishments. To attain this aim, it suggests "distribution of power should not be pointed either to the central government or the local governments. It should be classified in accordance with the nature of the individual power concerned. Powers belonging to the central government should be handled by the central government while that of the local governments should be handled by the local government". "We take military and diplomatic affairs for example. Since they can not be divided, they should be handled by the central government. Education and sanitary matters varying from local different situations can be handled by local governments. Furthermore, national guards, though can be done by central government, are suggested for the local governments to take care of. Education may be same in nature but in coast area emphasis should be placed on maritime matters and in mountainous countries, minerals or forests while matters regarding scholastic systems and years of compulsory education should be reserved for the central government to decide". Only by so doing, the unique agreement among governmental establishments can be achieved.



- B. The Principle of Balance of Power regards the central government and local governments as one unity. As a whole, the central government is a collective organ of the local governments while each local government is a unit of the central government. The central government can not desert the local governments and exist alone while the local governments can, of course, not be able to accomplish any assignments after quitting the central government.

Therefore, adoption of the principle of Balance of Power in administration is primarily aimed at eliminating possible discrepancies found to exist between the central government and the local governments and further helping invest in the relevant powers to which government they should belong so that the organic national integrity can be found in the high efficiency and sound functions as reflected by the fine team-work.

- C. The Principle of Balance of Power, on the one hand, suggests establishment of an omnigovernment endowed with invincible powers to reach high efficiency in governmental function and, on the other hand, advocates rights of the people to control the government so as to prevent the government from being autocratic or dictatorial. The rights of the people are suggested not to the extent that governmental functions are affected. How can this be done? According to Dr. Sun Yat-sen's "Demarcation of rights and powers" when adopted in

/ administration

administration will be the right answer. "Demarcation of Rights and Powers," Dr. Sun said, "means to divide the national powers in two, one of which belongs to the people that are right of election, right of recall, right of initiative and right of referendum so as to enable the people to get in touch with national affairs directly. These are called rights of the people. The other goes to the government, which, called administrative powers, includes: executive, legislative, judicial, examination and control. These are the powers of the government only with which the government can be in a position to look into national affairs." What the students of decentralism fear is an omni-government for they believe under such circumstances people have no means to control the government. This is quite contrary to what the students of the principle of Balance of Power uphold, who are not deadful of the omni-government because they know people are well empowered with the rights to control the government. Election and recall, for instance, are rights to control government officials. If the officials elected can not fully represent the people by carrying out the decision of the parliament/council by seeking the welfares and benefits for the people, they can be "recalled". Initiative and referendum are rights to control the law. The parliament/council, composed by the people-elected members, enacts laws in accordance with the will of the people by whom they are elected. In the event that the parliament/council enacts the

/ law against

law against the will of the people, the law can be voted for revision by "referendum". On the contrary, people can initiate the law in their own interests.

Consequently, under this system, students of the principle of Balance of Power are not opposed to the establishment of omni-government but, on the contrary, go for it to be of efficient service to the people as long as the people possess the rights.

D. The local political system under the Principle of Balance of Power directs at division of work with no hindrance to be felt in inter-organizations. The government has no power to dissolve the parliament/council and the parliament/council has, in turn, no right either to cast vote of confidence. Thus, the government and the parliament/council are both held responsible directly to the people. Should a dispute arises, a supervisory body of higher level will act to arbitrate. A special feature in China's local political system can be seen in its division of work between the administration and the council in spirit although ostensibly the two seemingly are independent.

E. The purpose of the principle of Balance of Power is to establish a reasonable relationship between the central governments and the local governments so as to maintain a powerful government and a sound local system. The position of the

/ local government

local government and its latitude of power depend on the degree of control over local governments that the central government exercises. That is to say the position of the local government is to be premised upon the political system (centralization or decentralization) that the government adopts.

It is noted that in a government of centralization the position of the local government is an official bureau belonging to the central government while in a government of decentralization a public corporation.

In our country where the principle of Balance of Power has been in force, the position of local government is a local self-government organ, within the scope of law established by the central government, and, under supervision of the central government, engages in local construction projects and secures welfares for the people, which should be in no way an independent or self-determining self-government body.

Under the system of the Principle of Balance of Power, the position of local government has at the same time possessed dual qualifications, which on the one hand is a public corporation and on the other hand an official bureau of the central government. With its qualification of public corporation the local government fits in the local special needs and is entitled to develop matters of local interests within the scope of law established by central government. With its qualification of an official bureau of the central government, the local government is required to carry out national policy and handles matters of national interest.

/ Because of

Because of the adoption of this sound system, achievements can be expected in two ways: (1) National unification is not hindered while an omni-government can be established due to concentration of force of all people within the nation; and (2) Local special needs are not neglected but strengthened and further developed to the extent expected.

#### 4. Revision of the Principle of Decentralization

It is noted that both the British and the United States of America are famous for their establishments of democratic system of local government based on the principle of decentralization. They are the good examples for other countries to imitate. But there is a trend of centralization in local system in many aspects recently. We take the British for instance, its government system has been moving toward political decentralization and executive centralization. Facts are:

- A. Owing to the recent development of delegation of vesting power of legislation by the Central Executive has gradually increased. Especially, the Department of Public Health has in fact controlled most of the rights that should belong to local governments.
- B. Executive organs of the central government have, due to the adoption of administrative judicial right, possessed right of arbitration over dispute arising from exercise of law promulgated by central government, thus further increasing power of the executive organs.

/C. The position



C. The position of local government has been further lowered due to the increase in amount of subsidies by the central government whose power of supervision is at same time added unknowingly. America, now, for an example. The local system in America has been noted for its decentralization. However, in the recent decades, the executive supervisory right of the federal government has been in many aspects increased. A step further to carry out the policy of the federal government was the division of right into the hands of the federal government that originally belonged to local government. Facts are:

- A. Matters regarding local fiscal control have been governed by constitution or law so enacted. But the trend in recent years indicate this has been gradually superceded by the executive supervisory power of the federal government.
- B. Matters regarding local education have felt intervention of the federal government which conducts examination, training, approval and disapproval of newly-established schools and issuance of allowance as a means to serve its purpose.
- C. In the field of high way control, the federal government has also laid its hands by 1) furnishing results of public opinion; 2) requesting submission of reports by local governments; 3) publication of regulations; 4) assignments and disapproval of local projects; 6) request for loans; 7) arrangement of local inspection; 8) transfer of local rights; and 9) secure of new powers for federal government.

/dismissals of local officials; 5) approval and

/ The trend

The trend of revision of decentralization, therefore, can be apparently felt by reading both the British and American systems. Even in nations of centralization, the trend of decentralization is also being envisaged. This new trend well reveals a fact that in political thought it is suggested decentralization be adopted. But, in administration, due to the development of social enterprises, increase of executive matters and elevation of desire by the people, centralization prevails so that high efficiency can be expected in order to meet the political aim, the desire of the people and promote an effective development of national and local governments.

##### 5. Conclusion - Direction for future political system

Since excessive centralization results in deviation and immoderate decentralization is not permitted, we can well predict that local system in future must tend to the adoption of the principle of Balance of Power, by which moderate distribution of powers and responsibilities between the central government and the local governments is equally treated so that national prosperity and local constructions can be equally developed.

In conclusion, we may say adoption of the principle of Balance of Power is a brightening goal in future political system changes that is worth taking for reference for nations of decentralization.



FOR PARTICIPANTS ONLY

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Paper on

UNITED NATIONS TECHNICAL ASSISTANCE  
IN LOCAL GOVERNMENT AND  
ADMINISTRATION

(Ref: Agenda Item No. 21)

By

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CSLA/14  
(Ref. Agenda Item 21)

UNITED NATIONS TECHNICAL ASSISTANCE IN LOCAL GOVERNMENT AND  
ADMINISTRATION

by  
Emil J. Sady

1. This paper has two purposes; first to inform Seminar participants how the United Nations tries to help governments to improve their systems of local government and local administration; and second, to stimulate discussion of the types of technical assistance and related activities that would be most helpful to participants and their governments in the future.

2. Technical assistance in local government and administration forms part of a larger programme of technical assistance in public administration. Good local administration is dependent on sound organisation and operation of government at the national level. In fact, improvements at the local level are likely to be more successful if they are part of a general programme of reform in public Administration. The United Nations assist governments in conducting surveys as a basis for such reform and then in making needed changes in general organisation and operations of government, in personnel administration and training, and in financial policies and administration. Moreover, technical offices and specialised agencies of the United Nations are concerned with improvement of administration in their respective fields: housing, health, educational organisation and others of interest to local government. The United Nations Division for Public Administration cooperates with the other offices and specialised agencies of the United

/ Nations in order to

Nations in order to accelerate improvement in administration at all levels and in all the major fields contributing to economic and social development.

3. There are also other technical assistance programmes, both bilateral and multilateral such as the Colombo Plan, which are available to governments and with which the United Nations seeks to collaborate. There are also important non-governmental international agencies such as the Eastern Regional Organisation for Public Administration, the International Institute of Administrative Sciences and the International Union of Local Authorities which play a vital role in the professionalization of the public service and the stimulation in many ways of improvements in governmental administration. More will be said later about the joint activities of the United Nations and International non-governmental bodies as related specifically to local government.

4. With particular reference to local government, the United Nations offer various forms of assistance to governments in establishing a sound system of local government. It assists in the conduct of surveys to define local government areas, to improve relationships between central government and local authorities, and to establish the organisation, powers, functions, and method of financing such authorities.

5. It may also assist in the implementation of the survey, including the establishment and strengthening of central agencies for improvement

/ of local government

of local government. We lay special emphasis on such central agencies because, through them, arrangements for improving local governments on a continuing basis can be institutionalised and the governments themselves can render technical assistance to local authorities. The United Nations has provided advisory assistance at government request to capital cities and other municipalities and, as noted later, is collaborating in a programme of intermunicipal technical assistance. But the resources of the United Nations are not adequate to provide significant direct help to cities. Moreover, we believe it is better to help governments to organise and staff their own central agencies for the purpose. These central agencies, as brought out in our discussions, may include a ministry or department of local government, a local government public service commission, arrangements for on-the-job training and institutional training, and a loan agency for local authorities. These usually take the form of governmental agencies which the United Nations can appropriately help to establish.

6. In addition to these agencies, a union of local authorities and one or more professional or staff associations of local government personnel can usually contribute in a special way toward improving local administration. In some countries, they are an important source of assistance to local units. International non-governmental organisations such as the International Union of Local Authorities, can advise on the organisation of these bodies.

/ Forms of United

Forms of United Nations Assistance

7. United Nations assistance in this field is available in the following forms:

a. Experts are provided to serve in an advisory capacity:

: They are normally attached to the ministry or department of government having primary responsibility for the task for which advisory assistance is requested (e.g. a ministry of local government). Advisory experts may also be provided for direction of or for teaching in such institutions as an institute of public administration or a school of local government. Requesting Governments are expected to provide national counterpart personnel to each advisory expert appointed, so that the expert may impart training and experience to such counterparts with a view to their eventually taking over the expert's tasks. Advisory experts in public administration can either be provided within the framework of the United Nations Expanded Programme of Technical Assistance (EPTA) or from the supplementary funds available under the United Nations regular budget (General Assembly Resolution 723 (VIII)). Under the former (EPTA), requests from part of a country's overall technical assistance programme, and must conform to rules regarding project planning and biennial programming. Thus initial appointments can be made for two years and may be subsequently renewed. Under the latter Resolution (723 (VIII)) funds are specifically allotted to technical assistance in public administration. Since the budget is renewed annually, initial appointments are usually made for one year, with a view to early transfer to the general programme under EPTA

/ if it is apparent

if it is apparent the project will be long-term. Resolution 723 (VIII) funds can thus be used in a flexible way for the support of new public administration projects that could not find an initial place under EPTA. The procedures followed and criteria used for dealing with requests under either source of funds are the same, and all such technical assistance is subject to the Revised Standard Agreement for Technical Assistance.

b. The United Nations programme for the provision of operational, executive and administrative personnel (OPEX) is a form of technical assistance intended to supplement other forms such as the advisory expert. It enables Governments, with United Nations assistance, to secure the services of well-qualified personnel to perform operational and executive tasks, as the servants of Governments. In this the OPEX officer differs from the advisory expert whose status is that of an official of the United Nations and an international civil servant. The OPEX officer is responsible to the Government alone in the performance of his duties. He receives the local salary and emoluments of his post from the Government, supplemented by payments from the United Nations of a stipend and allowances which bring his total remuneration up to a level approximately equal to an advisory expert. In his operational and executive capacity he may accept responsibility for management of personnel and material and the disbursement of funds. Unlike the advisory expert whose prime function is advisory, the OPEX officer is primarily operational. In addition to filling a temporary Government post, the OPEX officer is expressly charged,

/ with Government



with Government cooperation, to train a national successor as rapidly as possible. The programme has been financed wholly from the United Nations regular budget since 1959, but it is likely that the resources of EPTA may be used for OPEX purposes also, if the General Assembly endorses during the 18th session, a resolution of the ECOSOC (951 XXXIV) to this effect.

c. Another important type of assistance is the provision of fellowships under either the EPTA or Regular Programme of the United Nations to enable officers of central government or local authorities to undertake advanced studies, to observe local government systems in other countries, and to have interships or other forms of training in other countries. Priority is given under the Regular Programme to fellowships for the understudies of technical assistance and OPEX experts.

d. The United Nations Intermunicipal Technical Assistance Programme established recently in collaboration with the International Union of Local Authorities, provides a means whereby cities in developing countries can, with the approval of their national governments obtain the services and use of training facilities of cities in other countries. The latter cities continue to pay the salaries of officers who<sup>se</sup> services they make available without reimbursement for periods up to six months and the United Nations pay the travel and per diem costs involved. A municipality seeking assistance under this Programme should apply to the International Union of Local Authorities (IULA) in The Hague. IULA locates a city in another country that can provide the assistance requested and submits

/ proposals to the



proposals to the United Nations for financing after technical review by the office concerned and approval by the member Government of the city requesting assistance. The first three experts are now being appointed under this programme. Two will advise the municipality of Bangkok on finance and planning and the third will be attached to the Iran Municipal Association to advise municipalities on performance budgeting.

e. Research, workshops, seminars and study tours usually are indirect but nevertheless useful forms of assistance because they facilitate the synthesis and exchange of information among countries on common problems and establish contacts among officers of different countries who have similar responsibilities.

f. Financial assistance for certain types of projects related to urban development may be obtained through the United Nations Special Fund, which was established for the purpose of financing pre-investment surveys and other projects that are expected to lead directly to increased productivity. For example, the Institute of Public Administration in Ghana is financed in part through the Special Fund. The establishment of national (or regional) training institutions and other agencies for the improvement of local government and the financing of projects in the field of urban development that are essential for economic development could conceivably qualify for consideration. Special Fund projects are financed and administered pursuant to an agreement between the Government concerned and the United Nations.

8. In addition to

8. In addition to the above, assistance is also available in the local government field through international loan programmes, bilateral and other multilateral agencies and non-governmental organisations including philanthropic foundations.

9. All requests for assistance from the United Nations must be initiated or approved officially by the Government concerned. In most countries a special national office has been designated to coordinate and to serve as a channel for external assistance. The United Nations Technical Assistance Board (UNTAB) has Resident Representatives accredited to countries of the region. They assist governments in programming and coordinating United Nations assistance. The office of the UNTAB Resident Representative can provide additional information on technical and financial assistance available through the United Nations and the specialised agencies. If technical advice is needed in order to formulate a request for assistance, arrangements can usually be made for the regional consultant in public administration at the United Nations Economic Commission for Asia and the Far East (ECAFE) to visit the country.

10. It is suggested that the Seminar discuss the types of technical assistance in local government -- worldwide research, regional studies and meetings, and country projects -- that would be most useful to their governments.

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UNITED NATIONS/EROPA SEMINAR ON CENTRAL SERVICES TO LOCAL AUTHORITIES  
21 October -- 6 November 1963

Summary of country papers

1. In the countries of South, South East and East Asia <sup>1/</sup> participating in this Seminar the pattern of central government varies considerably from one country to another. The form of government is federal or quasi-federal in a few of them: India, Malaysia, and perhaps in Pakistan, China and Indonesia; in the others the government is unitary and in many cases highly centralised.

*Re-drafted*  
all countries in the region, governments are nominally democratic. India, Ceylon, Japan, Malaysia have a parliamentary system of government in the traditional sense. The legislatures of these countries are based on universal suffrage and governments are responsible to them. In the Philippines government is democratic and presidential on the American model. In all other countries in the region the government is either monarchical or dictatorial.

2. The pattern of local government is equally varied. The stage of development and the strength of local institutions differ greatly. In every country there is a measure of local self government, but in none is it fully developed and firmly established. Local government would appear to be in its infancy in most states. In recent years there has been a commendable effort to set up local self governing institutions or to strengthen them. Indeed in some countries the effort to build local

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<sup>1/</sup> viz. Thailand, Viet-Nam, Philippines, Korea, Indonesia, Japan, India, Afghanistan, China (Taiwan), Ceylon, Malaysia, Pakistan, Nepal and Iran.

*No reference  
particular countries  
as possible*

-2-

institutions has been on such a scale that it could be described as an administrative revolution. It may also be mentioned that in almost every country a definite policy of decentralisation has been adopted.

3. Naturally the system of local government in the different countries of the region shows the influence of historical and geographic and cultural environments. It could be said that the system of local government in the countries which were under British rule like India, Pakistan, Ceylon and Malaysia show a certain similarity in structure and functions and in its working. The ideal in these countries is a fully elected and responsible local authority, both in urban and rural areas, discharging the whole range of municipal functions. On the other hand, in countries under French rule, like Viet-Nam, there is a high degree of centralisation. In the Philippines and Japan one may see the influence of American ideas in local government. In Afghanistan, Iran, Indonesia, and Taiwan, local government can be said to be only in the beginning.

4. The broad pattern of local government may be briefly noted here: Ceylon, China, India, Malaysia, Japan, Philippines and Nepal, local authorities, both urban and rural, are wholly elected. In other countries local authorities are partly elected and partly official or entirely official.

The devolution of power to local authorities is considerable in Ceylon, India, Malaysia, Japan, Pakistan, Philippines and Nepal. In other countries the extent of the devolution is limited.

In Japan local government has been given a constitutional basis. In all other countries in the region, local government is regulated by ordinary

/legislation

legislation or ordinances and rules and regulations. In a number of countries local government is regarded as an integral part of the governmental system, and local institutions are subordinate instruments of the central government. This is true of all the countries where local government has been newly established. There is a deconcentration rather than a genuine decentralisation of authority.

5. In all the countries where there has been a traditional system of local government, although of a rudimentary kind, the new systems of local government which has been established has sought to utilise, the traditional system as its base. The Panchayats in India and the village headmen in many countries, the Barrio in the Philippines have been made the basis of the new systems of local government in these countries. It would seem that local self government of the countries of the region, above the village level is a totally new innovation.

6. In approximately half the countries in the region, the development of local government has been made the responsibility of a separate ministry or department of the central government. In the others, local government is the responsibility, usually of the Ministry of the Interior, or of the office of the Chief Executive. The existence of a separate ministry or department of local government seems to accelerate the development of local government as compared with the countries where it is the responsibility of the Ministry of Interior or some other central department.

7. Central services to Local Authorities are for the most part, similar, though the extent of assistance varies considerably from one country to /another.

another. These are rendered directly by the different technical departments or the Central government in increasing measure. But sometimes this is channelled through the Ministry or Department of Local Government. Central assistance, particularly financial assistance, is sometimes determined by political factors. Financial assistance has taken the form of grants-in-aid either as bloc or specific grants in most countries. These grants are subject to various conditions, and generally involve a measure of inspection and control. Central financial assistance to local ~~authorities~~ <sup>to</sup> authorities ranges from amounts as much as <sup>to</sup> 70 to 80 per cent. of the expenditure of local bodies.

8. Local bodies depend for their finances only partly on their own powers of taxation. The tax powers they have include taxes on property and houses, rates, taxes on professions and callings, taxes on animals, boats, taxes on entertainments, on goods, and fees and licences of various kinds. In most countries these appear to be the basic taxes which local authorities have been empowered to levy. It has been reported from all countries in the region that the financial resources are inadequate for the responsibilities which local authorities have to perform. It has been suggested <sup>that</sup> that additional sources of taxes should be made available to local authorities. It has been further suggested that besides additional sources of taxation local authorities must be given loan funds as capital to enable them to undertake various kinds of utilities. and public enterprises from which they could derive a sizeable  
/income

income. All countries report that financial weakness is one of the most important features of the system of decentralisation.

9. The forms of central assistance are numerous. These include assistance in regard to personnel, research, information, advice and guidance, technical assistance in various fields such as education, health, public works, assistance in regard to budgeting, accounting and audit, programme improvements, legal advice, etc. Central assistance is considered as desirable and beneficial both to the recipient local authority as well as the central department rendering the service. There has been an expansion of central services and there is a tendency for them to expand further.

10. The difficulties experienced by local authorities are delay due to red tape in the process of obtaining assistance, duplication due to lack of coordination between different central agencies rendering help and sometimes the dominance of political considerations in deciding the quantum of assistance, especially in financial matters.

11. It has been suggested that there should be adequate machinery for the coordination of central assistance through a central Ministry or Department or a bureau or directorate which would attend to the needs of local governments fairly and expeditiously.

12. It has been noted that local authorities require considerable assistance in personnel matters. Since local governments are "qualitatively as well as quantitatively understaffed" in the countries

/of the EROPA



of the EROPA region, and local governments cannot set up adequate training programmes on their own, central governments should assist. As yet they have no planned services for the development of personnel needed to staff local units.

There are some notable efforts to provide both pre-service and in-service training to employees in several countries, but these are far from adequate. Training programmes which may be mentioned here are the training programmes in Korea, Japan, the Philippines and Thailand. Though legislation provides in some countries for "a continuing programme of employee training and supervisory career and executive development", such comprehensive programmes have not been set up in actual practice. In the field of pre-service and in-service training and staff development, programmes are regarded as urgent needs.

13. In regard to recruitment and control, some countries, notably Ceylon has set up an independent commission for recruitment to the higher grades of local employees. The services themselves have been constituted into a unified service. In others there is a secondment of technical and administrative personnel to local authorities.

14. Technical assistance includes assistance in the planning and execution of water works, drainage schemes, town and country planning, and latterly in the field of agriculture, veterinary development, etc. Such assistance is well developed in Ceylon, India and Pakistan and in some other countries. Technical assistance is rendered in all major fields of activities such as education, public safety, health, welfare, etc.

/L Some measure

15. Some measure of help is rendered, though not specifically, in programme improvement. There is a need for experts in organisation and management. Both research and evaluation would need to be considerably strengthened. To some extent these services are rendered by central governments, universities, institutes of public administration in the different countries of the region.

16. From the reports an augmentation of central assistance in finance, personnel and technical assistance for economic development would appear to be needed in all the countries of the region.

17. Central assistance in budgeting accounting, tax administration and audit is provided in most countries. The assistance of this involves a strict control of local authorities.

18. Only <sup>in</sup> a few countries of the region are to be found associations of local authorities, or associations of local government employees. Those that exist are rudimentary and are not in a position to help in developing efficient local administration or local self government. In this field it would seem there is a considerable need for the planned encouragement of associations for cooperative work.

19. The structure, organisation, finances, personnel, and planning of local authorities would all mean progressive improvement in most of the countries in the region with a view to their democratisation and efficient functioning. Such action alone would make possible extension of basic services needed to rural as well as urban areas. In all these fields it would appear study and research would be required to enable the formulation of schemes of local government suited to the differing conditions in the various countries of the region.

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## SUMMARY OF COUNTRY PAPERS

CSLA/3/1

Summary Items	India	Ceylon	Nepal
1. Broad pattern of Central Government and federal State Governments.	Federal; Parliamentary democracy in the traditional sense.	Unitary; Parliamentary democracy in the traditional sense.	Unitary; Constitutional monarchy.
2. Broad pattern of local govt. - rural & urban; incidence of locally elected authorities as opposed to local govt. by officials.	locally elected authorities - urban and rural. A three tier system.	locally elected authorities - universal suffrage.	Locally elected authorities.
3. Does the elected govt. where there is one exercise any real autonomous powers?	Yes.	Yes.	Yes.
4. Is there a Central Govt. ministry or department responsible for control support, and development of local govt.?	Yes.	Yes, Ministry of Local Govt. - Dept. of Local Govt. - Commissioner.	Yes.
5. To what extent are the units of field organizations dispersed to levels below centre?	upto village level.	upto <sup>village</sup> district level.	upto village level.
6. Can any formal relationship be seen between field units and local authorities?	Yes.	Yes.	Yes.
7. Do local authorities possess or have control of their own services for a) administration, e.g. planning, tax collection etc. b) technical services?	a) Yes. b) Partial control divided between local authorities and field units of central govt.	a) Yes. b) Yes.	a) Yes. b) Yes.
8. Do local authorities carry out any tasks for central government?	Yes. Central government may assign any functions.	<i>Yes.</i>	No.
9. What Services are provided by Central Govt. to support local govt. - O&M; Research; training; personnel services; planning; budgeting; finance control; financial assistance, e.g. grants, loans, audit, inspection, supervision & guidance.	O&M; Research, training, personnel services; planning; budgeting; financial control; financial assistance (considerable); grants and loans; audit; inspection; supervision & guidance.	Technical assistance in engineering - planning etc., training; personnel services; budgeting; financial assistance; grants and loans; audit; inspection; guidance & supervision; survey & valuation; framing <sup>model</sup> by-laws.	Research; training; personnel services; planning; budgeting; financial assistance - grants and loans; supervision and guidance, and control.
10. Are there associations or local authorities for cooperation?	Yes.	Urban Councils' Association, Town Councils' Association, All-Ceylon Village Councils' Association.	No.
11. Are there professional or staff associations for local government personnel?	Yes.	<i>Yes.</i>	No.
12. Is there any announced govt. policy or plans to decentralize powers to local authorities, or to levels of administration below the centre?	Yes. Democratic decentralization -- is in various stages of implementation.	Yes.	Yes: more powers -- judicial and administrative -- to be developed on local authorities.
13. Any general remarks considered worthy of note.	Urban local government firmly established; rural local government is still in transition. Problems: lack of civic consciousness and lack of leadership, personnel, tax resources; undue reliance on central financial assistance.	Local government well established; local authorities financially rather weak and lack technical personnel.	Local government is in transition local authorities are short of expert personnel and financial resources.

\* I.N.A. = Information not available.

un/kkg.

## SUMMARY OF COUNTRY PAPERS

Summary Items	Pakistan	Afghanistan	Iran
1. Broad pattern of Central Government and federal State Governments.	Quasi-federal; Basic democracy; presidential.	Unitary; <sup>Central</sup> <del>Non-federal</del> role of popular chamber and cabinet only; advisors.	Unitary; Constitutional monarchy.
2. Broad pattern of local government - rural and urban: incidence of locally elected authorities as opposed to local government by officials.	Local councils consist of partly elected, partly nominated official and non-official elements.	Local govt. by officials except at the village level where the chief is a hereditary official. <i>generally</i>	Local government predominantly by officials.
3. Does the elected government where there is one exercise any real autonomous powers?	Yes.	No.	No.
4. Is there a Central government ministry or department responsible for control support, and development of local government?	Yes.	No.	No.
5. To what extent are the units of field organizations dispersed to levels below centre?	upto village level.	<i>prov.</i> upto district level.	upto village level.
6. Can any formal relationship be seen between field units and local authorities?	Yes.	<i>Yes</i>	Yes.
7. Do local authorities possess or have control of their own services for a) administration, e.g. planning, tax collection etc. b) technical services?	a) Yes. b) Yes.	a) Yes. b) Little.	a) I.N.A. b) No.
8. Do local authorities carry out any tasks for central government?	No.	No.	No.
9. What services are provided by Central Government to support local government - Q&M; research; training; personnel services; planning; budgeting; finance control; financial assistance, e.g. grants, loans, audit, inspection, supervision & guidance.	Training; personnel services; planning; financial assistance -- grants and loans and audit.	Training; personnel services; budgeting; financial assistance; audit and inspection.	Q&M; Personnel services; planning; budgeting; financial assistance -- grants.
10. Are there associations or local authorities for cooperation?	No.	No.	Yes.
11. Are there professional or staff associations for local government personnel?	Yes.	No.	I.N.A.
12. Is there any announced government policy or plans to decentralize powers to local authorities, or to levels of administration below the centre?	Yes, a policy of building democracy from the bottom up. Formation of a separate local government service is under consideration.	No.	Yes: development of local autonomy and self-government.
13. Any general remarks considered worthy of note.	Local government is an integral part of central government. Local authorities do not have adequate finances and short of expert personnel; lack of civic consciousness.	Almost no local self-government. There is no demand for local authorities or modern lines, or urge.	Local government is in transition; local authorities are financially weak.



## SUMMARY OF COUNTRY PAPERS

Summary Items	Pakistan	Afghanistan	Iran
1. Broad pattern of Central Government and federal State Governments.	Quasi-federal; Basic democracy; presidential.	Unitary; <sup>Constitutional</sup> <del>constitutional</del> <del>of popular chamber and cabinet only advisory.</del>	Unitary; Constitutional monarchy.
2. Broad pattern of local government - rural and urban: incidence of locally elected authorities as opposed to local government by officials.	Local councils consist of partly elected, partly nominated official and non-official elements.	Local govt. by officials except at the village level where the chief <sup>is a hereditary official.</sup> <del>is a hereditary official.</del> <sup>usage</sup>	local government predominantly by officials.
3. Does the elected government where there is one exercise any real autonomous powers?	Yes.	No.	No.
4. Is there a Central government ministry or department responsible for control support, and development of local government?	Yes.	No.	No.
5. To what extent are the units of field organizations dispersed to levels below centre?	upto village level.	<sup>provl.</sup> upto district level.	upto village level.
6. Can any formal relationship be seen between field units and local authorities?	Yes.	<sup>Yes</sup>	Yes.
7. Do local authorities possess or have control of their own services for a) administration, e.g. planning, tax collection etc. b) technical services?	a) Yes. b) Yes.	a) Yes. b) Little.	a) I.N.A. b) No.
8. Do local authorities carry out any tasks for central government?	No.	No.	No.
9. What services are provided by Central Government to support local government - Q&M; research; training; personnel services; planning; budgeting; finance control; financial assistance, e.g. grants, loans, audit, inspection, supervision & guidance.	Training; personnel services; planning; financial assistance -- grants and loans and audit.	Training; personnel services; budgeting; financial assistance; audit and inspection.	Q&M; Personnel services; planning; budgeting; financial assistance -- grants.
10. Are there associations or local authorities for cooperation?	No.	No.	Yes.
11. Are there professional or staff associations for local government personnel?	Yes.	No.	I.N.A.
12. Is there any announced government policy or plans to decentralize powers to local authorities, or to levels of administration below the centre?	Yes, a policy of building democracy from the bottom up. Formation of a separate local government service is under consideration.	No.	Yes: development of local autonomy and self-government.
13. Any general remarks considered worthy of note.	Local government is an integral part of central government. Local authorities do not have adequate finances and short of expert personnel; lack of civic consciousness.	Almost no local self-government. There is <del>no demand for local authorities on modern lines, or urge.</del>	Local government is in transition; local authorities are financially weak.

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SUMMARY OF COUNTRY PAPERS

COM-3/1

Summary Items	Viet-Nam	Thailand	China (Taiwan)
1. Broad pattern of Central Government and federal State Governments.	Unitary; Democratic.	Unitary; <sup>limited</sup> <del>nominal</del> monarchy; in practice a dictatorship. <i>The local government under a federal system is a part of the central government.</i>	Unitary with subsidiary federal features; residential, with separation of powers. President as dominant partner.
2. Broad pattern of local govt. - rural and urban: incidence of locally elected authorities as opposed to local govt. by officials.	Predominantly local government by officials.	Predominantly locally elected authorities.	locally elected authorities: County and Municipal Governments - Provision for recall.
3. Does the elected govt. where there is one exercise any real autonomous powers?	I.N.A.	No.	limited autonomy.
4. Is there a Central Govt. ministry or department responsible for control support, and development of local govt.?	No.	Yes.	No.
5. To what extent are the units of field organizations dispersed to levels below centre?	upto district level	upto village level	upto village level
6. Can any formal relationship be seen between field units and local authorities?	Yes	Yes	Yes
7. Do local authorities possess or have control of their own services for a) administration, e.g. planning, tax collection etc. b) technical services?	a) I.N.A. b) I.N.A.	a) Yes b) Yes	a) Partial Control b) Partial Control
8. Do local authorities carry out any tasks for central government?	I.N.A.	No.	Yes: Central government may assign any functions.
9. What services are provided by Central govt. to support local govt. - Q&M; research; training; personnel services; planning; budgeting; finance control; financial assistance, e.g. grants, loans, audit, inspection, supervision & guidance?	Q&M; research; training; personnel services; planning; budgeting; financial control; financial assistance - grants & loans and audit.	Research; training; personnel services; planning; budgeting; financial assistance - grants & loans; audit and supervision & guidance.	Q&M; Research; training; personnel services; planning; financial assistance - grants & loans; audit; supervision & guidance.
10. Are there associations or local authorities for cooperation?	No	Yes: the National Municipal League patterned after the IULA is a noteworthy feature; <i>... an extensive training programme for municipal officials.</i>	I.N.A.
11. Are there professional or staff associations for local government personnel?	Yes.		I.N.A.
12. Is there any announced govt. policy or plans to decentralize powers to local authorities, or to levels of administration below the centre?	Yes: programme of decentralization to create popularly elected councils and to devolve functions relating to social and economic development.	Yes: to evolve self-governing local authorities.	I.N.A.
13. Any general remarks considered worthy of note.	Local government on modern lines is yet to be created.	The central department is largely responsible for strengthening local government. Local authorities are financially weak and there is need for modernising local government personnel; lack of civic consciousness.	Local government is <i>partially</i> undeveloped <del>yet</del> . Local authorities need unified supervision by various departments and agencies; lack finance.

## SUMMARY OF COUNTRY PAPERS

Summary Items	Philippines	Malaysia	Indonesia
1. Broad pattern of Central Government and federal State Governments.	Unitary; Democratic Presidential govt.	Federal; Parliamentary democracy in the traditional sense.	Unitary; guided democracy; President is also prime minister; Legislature's role is only advisory. <i>has full authority</i>
2. Broad pattern of local govt. - rural & urban: Incidence of locally elected authorities as opposed to local govt. by officials.	Local councils as well as local govt. officials are elected (H.S. Type).	Fully Elected local bodies and mayors only in the more developed cities; Elsewhere officials and elected councillors constitute.	Local government by officials of central government; no local authority at the Village Level. <i>Central Govt. has delegated the powers to local officials</i>
3. Does the elected govt. where there is one exercise any real autonomous powers?	Yes.	No uniformity; about half have autonomous financial powers and the rest do not.	<i>Yes.</i>
4. Is there a Central Govt. ministry or department responsible for control support, and development of local government?	No.	No.	<i>No. Yes.</i>
5. To what extent are the units of field organizations dispersed to levels below centre?	upto village level	upto district level	upto. county level
6. Can any formal relationship be seen between field units and local authorities?	Yes.	Yes: field units perform most of the local services.	No.
7. Do local authorities possess or have control of their own services for a) administration, e.g. planning, tax collection etc. b) technical services?	a) Yes b) No	a) Little control b) Little control	a) Yes b) Yes
8. Do local authorities carry out any tasks for central government?	I.N.A.	No.	Yes.
9. What services are provided by Central Govt. to support local personnel services; planning; budgeting; finance control; financial assistance, e.g. grants, loans, audit, inspection, supervision & guidance.	Training; personnel services; planning; budgeting; financial assistance -- grants and loans and audit.	Personnel services; budgeting; financial control; financial assistance (Considerable) -- grants and loans.	Research; training; personnel services; budgeting; financial control; financial assistance -- grants and loans; audit.
10. Are there associations or local authorities for cooperation?	I.N.A.	Yes.	No.
11. Are there professional or staff associations for local government personnel?	I.N.A.		No.
12. Is there any announced govt. policy or plans to decentralize powers to local authorities, or to levels of administration below the centre?	Yes: granting more autonomy to local authorities.	Yes: to devolve financial autonomy and create self-governing local authorities.	Yes: extension of local government to the village and devolution of more powers to local authorities.
13. Any general remarks considered worthy of note.	Local government is well established; No potential tax resources to local authorities and there is no administrative co-ordination.	Local government is complicated by differences in structure and powers; no structural uniformity among local authorities of each tier; local authorities are financially weak.	No local government in the modern sense; local authorities are integral part of central government (as in the Soviet pattern); financial position is, by and large, sound. <i>Loc Govt has is made but is adopted from the Soviet System</i>



SUMMARY OF COUNTRY PAPERS

Summary Items	Korea	Japan
1. Broad pattern of Central Government and federal State Governments.	Unitary; democratic.	Unitary; parliamentary democracy in the traditional sense.
2. Broad pattern of local govt. - rural & urban: incidence of locally elected authorities as opposed to local govt. by officials.	Locally elected urban authorities where as chief of village is appointed by central government.	Locally elected authorities.
3. Does the elected government where there is one exercise any real autonomous powers?	Limited autonomy	Yes
4. Is there a Central Government ministry or department responsible for control support, and development of local government?	No	Yes
5. To what extent are the units of field organizations dispersed to levels below centre?	upto village level	upto village level
6. Can any formal relationship be seen between field units and local authorities?	Yes	Yes
7. Do local authorities possess or have control of their own services for a) administration, e.g. planning, tax collection etc. b) technical services?	a) Yes b) No control except over education.	a) Yes b) Yes
8. Do local authorities carry out any tasks for central government?	No	No
9. What Services are provided by Central Government to support local government - Q&M; Research; training; personnel services; planning; budgeting; finance control; financial assistance, e.g. grants, loans, audit, inspection, supervision & guidance.	Research; training; financial assistance -- grants & loans; audit; supervision & guidance.	Q&M; Personnel services (little); research; training; planning; finance control; financial assistance -- grants & loans.
10. Are there associations or local authorities for cooperation?	Yes.	Yes.
11. Are there professional or staff associations for local government personnel?	Yes.	Yes.
12. Is there any announced govt. policy or plans to decentralize powers to local authorities, or to levels of administration below the centre?	Yes. after the transition to civil government, all local authorities will be self-governing.	Yes. Constitutional basis given to local government.
13. Any general remarks considered worthy of note	Local government not firmly established; no structural uniformity among local authorities of each tier; undue reliance on central financial assistance (55%); multiple supervision need to be replaced by single supervision.	Local government is firmly established; financial autonomy guaranteed and local authorities have their own staff.

FOR PARTICIPANTS ONLY

GSLA/5

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CENTRAL SERVICES TO LOCAL AUTHORITIES

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Prepared By

The National Municipal League, Thailand

THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
INDRAPRASTHA ESTATE  
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NEW DELHI (INDIA)

## CENTRAL GOVERNMENT SERVICES TO LOCAL GOVERNMENT IN THAILAND

### PART A - BASIC DATA

1. The factors of history and human geography affecting the pattern of decentralization stem from the fact that Thailand with its 28 million people displays the characteristics of both a country with a long tradition of independence, as well as those of a developing country like its neighbours in the EC&FE region. Historically, the Thai Administrative system is a product of evolution with its roots going back 600 years, during which time the broad outlines of today's hierarchical pattern of territorial administration were formulated. In the Ayuthia period (1350-1767) the primary unit of local government was the small hamlet or ban, headed by a headman called the phu vai ban. It was customary to seek popular approval for these men and there thus developed the rudimentary form of local self-government which even today appears as form of local government. Clusters of ban or communes made up the next level of local government and these were called tambol. The tambol was governed by a Kumnan or to use the more popular name, Pan the head man of one thousand persons. Several tambols made up a district which was called a Kwang, usually consisting of about 10,000 persons under the administration of a Muno Kwang. The kwangs were grouped into provinces or Muangs each ruled by a Governor. And, finally, the Muangs were grouped into regional organizations similar to the "circles" in Germany today, which were called Monthons under the control of a High Commissioner.

This traditional system of territorial administration underwent a change in names as the new administrative organization of the 20th century emerged. The provinces (muangs) became known as Changwads, The districts (kwangs) became known as Amphurs. The communes remained Tambols and the hamlets (bans) are today known as Mubans. The hierarchical arrangement was tightened by the creation of centrally appointed and paid Governors and the elimination of the Circles (monthons) and their High Commissioners.

Urban areas were first recognized administratively with the establishment of the Bangkok Sanitary Board in 1897. This special purpose, special district local authority was empowered to supervise the sanitation and public health of the geographical area it encompassed. Its success led to establishment of this unit of Government into other areas of the Kingdom. In 1909, King Chulalongkorn extended the applicability of this unit of government, established different forms for towns and villages, allocated revenue sources and a tax base, gave the right to issue by-laws and added the maintenance of roads and street lighting to its functions.

In 1932 constitutional monarchy replaced the old system of absolute monarchy. From that time onward the central government has been

/increasingly

increasingly concerned with ways and means to extend representative democracy to all levels of local government. Accompanying this has been the belief that more and more self-government in the hands of the people at the local level should be transferred in accordance with the ability of the people to understand and exercise with responsibility by perogatives of local self government.

2. Internal communications in Thailand are generally routed through the Governor who serves as the primary link between the capital city and the states. The Governor is an appointee of and responsible to the Ministry of Interior and is a member of the national civil service system. His position is similar to that of the French Prefect and he is the principal official of the central government in the state. He receives the policies and orders of the Cabinet (Council of Ministers) and is responsible for their execution and administration. The Governor is assisted by a staff which consists of a Deputy Governor (in the five largest states there is also a confidential administrative officer styled as Assistant Governor), and the chief officials of the various central ministries and agencies. These operating officials from the ministries and central departments meet with and advise the Governor about the programs of their agencies within the state. His views and policy guidance are sought in such meetings and he usually relays the latest internal communications from Bangkok at such meetings, which may be frequent and informal. There is usually a formal, monthly session of all top officials which is the normal channel for the discussion of provincial affairs. District Officers from the several districts in the state also attend these meetings.

Officials from central government agencies in the states usually include those from the Ministries of Finance, Education, Agriculture, Public Health, Economic Affairs, Communications. Most Ministries have field offices in most states. There are also officials in each state from the major departments within the Ministries such as the Public Prosecution Department, Police Department, Revenue Department, Rice Department, Post and Telegraph, Highways.

The lines of internal communication are set forth on the chart following part 4. Section 5 showing the administrative organization of the Government of Thailand which constitutes page 7 of this report.

3. The Broad pattern of the central government includes (1) the office of the Prime Minister, (2) Ministries and (3) government agencies of status equivalent to departments. Section 8 of the law on Organization states that the Prime Minister is the supreme responsible authority of the administration and that he may be assisted by a Deputy Prime Minister (of whom there are now two), a Minister or a Councillor of State. The Prime Minister may delegate some of his responsibilities to subordinates, in

/accordance with

accordance with law. He may also assign his authority to the Secretary General of the Council of Ministers in personnel matters, or to a Director General of a Department or official of equivalent status provided the devolution of power is accompanied by a Royal Decree, restricted in purpose according to law. The office of the Prime Minister includes the following agencies at present: (1) Under-secretary to the Presidency of the Council of Ministers, (2) Office of the Assistant to the Prime Minister, (3) a Central Division, (4) a Finance Division, (5) office of Inspectors, (6) Office of the Petition Commission, (7) the Secretariat of Government House, (8) the Secretariat of the Cabinet, (9) the Executive Office of the Prime Minister, (10) the Budget Bureau, (11) the Audit Council of Thailand, (12) the Provincial Audit Offices, (13) the Public Relations Department, (14) the Thai Information Service, (15) the Juridical Council, (16) the Civil Service Commission, (17) the Office of the Superintendent for Thai Students Abroad, (18) the National Education Council, (19) the National Power Commission, (20) the National Research Council, (21) Kasetsart University, (22) Chulalongkorn University, (23) Thammasat University, (24) University of Medical Sciences, (25) University of Fine Arts, (26) Meteorological Department (27) Board of Tax Supervision, (28) Board of Export Promotion, (29) Zoological Organization of Thailand, (30) Yanhee Electric Authority, (31) Tourist Organization of Thailand, (32) Central News Agency, (33) Secretariat of the National Security Council, (34) Thai Atomic Energy for Peace Commission, (35) National Statistical Office.

There are at present 15 Ministries in the central government in addition to the Ministry of Defense. Each Ministry is headed by a Councillor of State who is called a Minister. He may be assisted by one or more Deputy Ministers. A Minister may delegate any authority or power vested in him in accordance with a Royal Decree issued for the purpose, usually to the Under-secretary of his Ministry who is a civil service appointee. It is also possible to delegate authority to department directors general in matters relating to a particular department. The Under Secretary of the Ministry is the chief officer responsible for the permanent civil service staff of the Ministry. In each Ministry there is: (1) the Secretariat, (2) the office of the Undersecretary and (3) the departments. The Secretariat's functions are mainly political. The Undersecretary's office is non-political and it has administrative responsibility for all government functions which do not specifically belong to any department. The departments each headed by a Director General are divided into bureau, sections and divisions according to their functions and responsibilities. There are at present approximately 110 ministerial departments in the central government.

The provinces or Changvats will for purposes of this report be considered as the federal state governments. There are 71 such state governments

/varying in



varying in size and population. These states are established by law as juristic persons under the administration of an appointed Governor, primarily responsible to the central government's Ministry of Interior through the Department of Local Administration, as indicated in the preceding section concerned with internal communications. He has the power and duty to administer the state's affairs in accordance with the following guiding principles:

- 1 - To administer the state in accordance with law and regulations.
- 2 - To administer the state in accordance with the orders of the Cabinet (Council of Ministers) or any Ministry, or any Department or any public agency concerned with a particular problem or function.
- 3 - To administer the state in accordance with the instructions and advice of the Inspectors.
- 4 - To supervise the members of the central government service assigned to and performing various tasks within the state as part of the central government's field service. In this connection the Governor usually has power to direct, instruct and advise such officials and to issue orders for proper coordination and execution of policy and programs.
- 5 - To supervise the agencies of local government within his state.

For ease of administration, each state is divided into districts called Amphurs, of which there are presently 448 averaging 5 to 10 in each state. The District Officer (Nai Amphur) is the administrative head of the district. In addition to administrative duties, the D.O. is a magistrate and a reporting officer for various Ministries as well as a collector of central government taxes. He may be assisted by one or more Assistant District Officers (Palad Amphur) as well as a Board composed of the section heads of the various central ministries and departments having field units within his district. Additional duties include registration, correspondence, rural reconstruction and community development and criminal investigation. Where a national law or policy is to be put into effect and no competent central government field office exists to do it, the D.O. is entrusted with the task. D.Os and A.D.Os are members of the national civil service system, ultimately responsible through the state Governor to the Department of Local Administration in the Ministry of Interior. In many respects, the District Officer is comparable to the French sub-prefect.

4. The Broad pattern of rural local government in Thailand reveals two major units, the small Hamlet (muban) and the Commune or Village (tambol). It may be debated as to whether they are in fact areas of local government or areas of local administration, but in the broader sense of local government they would certainly be so considered. There are nearly 50,000 Hamlets

/which are the

which are the smallest rural units in Thai territorial administrative hierarchy. A Hamlet must have at least five households in a single cluster encompassing 200 persons. Administration is in the hands of a Phu Yai Ban who is responsible for both criminal and civil duties. He performs only minor duties under the direct hierarchical supervision of the Kamnan and the District Officer. He is elected locally and is not considered a State Official, receiving only an honorarium and no salary. The larger units of rural local government, the Communes, are administrative subdivisions of the districts and generally they follow natural boundaries. There are about 4,700 Communes in Thailand under the administrative supervision of elected village headmen called Kamnans, who are removable by the Governor of the state, and who has both civil and criminal duties performed under the direct supervision of the D.O. Both the Communes (tambols) and the Hamlets (mubans) are legally designated for administrative evolution towards more self-government under the Tambol and Muban Administration Act of 1957 which accords these rural local government units the right to have village meetings and pass resolutions. The law gives both units status as legal entities, and they are slowly evolving into areas of limited, rural self-government.

The broad pattern of urban local government in Thailand reveals two major units, the Special Purpose District (sukaphibal) and the Municipality (Tosaban). There are 401 corporate special Purpose Districts in Thailand, and 120 Municipalities grouped into three major classes and eight minor classifications. The Special Purpose District is established at the discretion of the Minister of Interior when deemed advisable because of special conditions of urbanization which require administrative and governmental processes. The Special Purpose Districts are limited in functions and service, but must have an adequate tax and population base. They are generally regarded as a training ground for urban self-government and a preparatory stage before being raised to the status of a true Municipality, to which they can be elevated when certain population densities and other requirements are met. Administration of the Special Purpose District is under the tutelage of the D.O. and his assistants working with a Board consisting of all the Kamnans and Phu Yai Bans in each district (amphur). Also serving are those field officers of the central government ministries and departments in the district, supplemented by four members elected at large by the residents of the Special Purpose District. Its general functions are usually confined to drainage, health, road work, parks, fire-fighting and taxation. The Governor exercises strong supervisory and veto powers over activities and administrative actions.

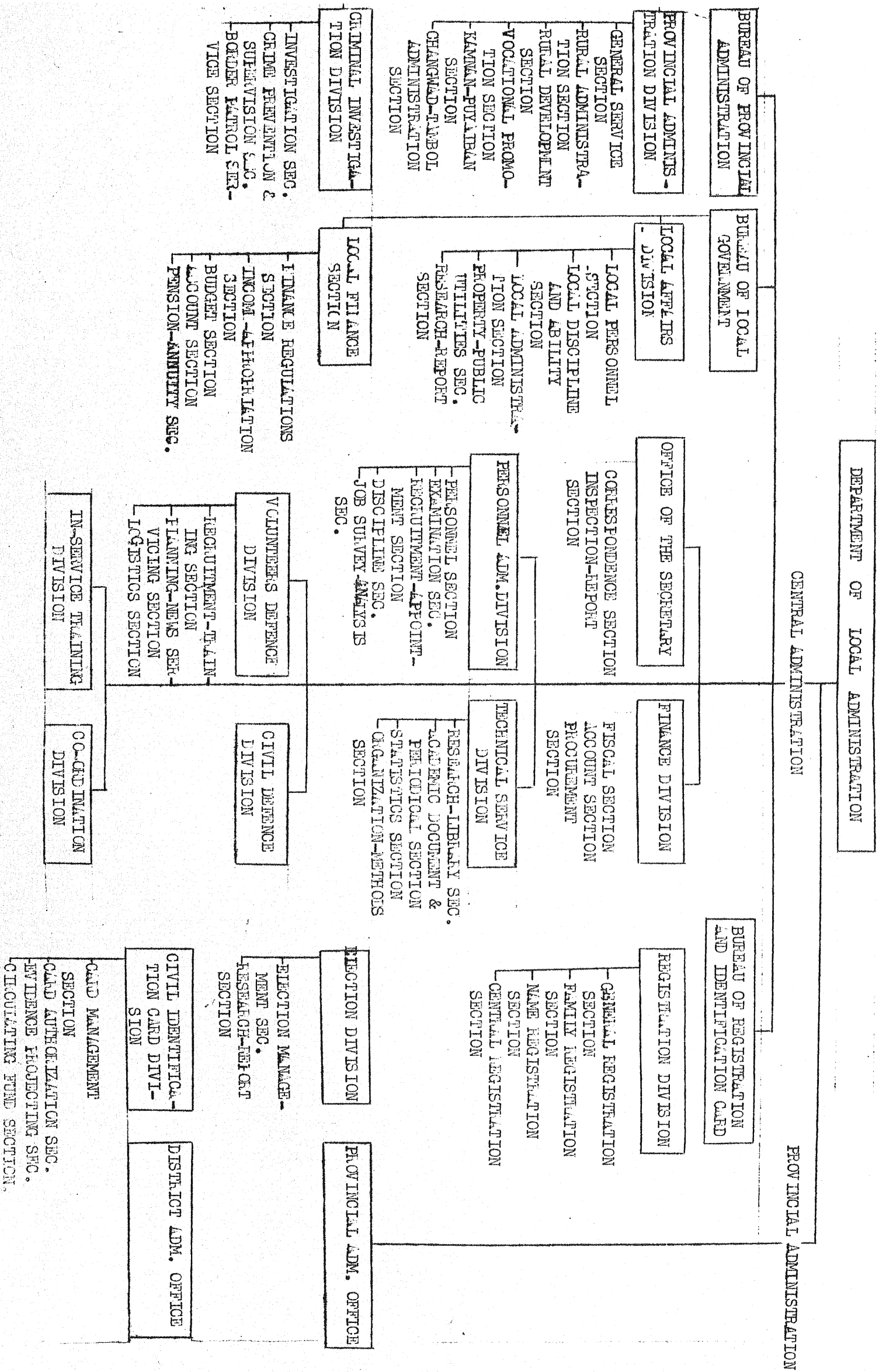
The 120 Municipalities are classified on the basis of population density, economic base and tax resources into townships (35), towns (82) and cities (3). A City must have a population of 50,000 with an average

/ density of



density of 3,000 per square kilometer and possess adequate revenue sources to support modern municipal services. The law establishes a Municipal Assembly of 24 persons for Cities. A Town must have a population of 10,000 with the same average density as a City and adequate potential revenue. Additionally, a federal state administrative headquarters may be elevated to Town status. An 18 member Municipal Assembly is the governing body of a Town. A Township may be established regardless of other requirements in the Minister of Interior deems it advisable, although there continues to be the need for adequate revenue resources. A Township is governed by a 12 member Municipal Assembly.

The central ministry and department responsible for general control, support and development of local government in Thailand is the Ministry of Interior and its Department of Local Affairs. The Ministry has the authority to create, alter or abolish local municipal governments in a manner similar to U.S. state legislatures. Regular, daily administrative control and supervision over local authorities is exercised in major areas of their activity and interest by the Ministry. The relationships between central government agencies and local authorities are constant and intimate. An extensive reporting system exists. Continuous supervision is exercised over local officials by the state Governors, who assist the Ministry in its powers to "advise, suggest, admonish, order, investigate, enjoin, remove from office or certiorari" local government activities. The Department of Local Affairs is well organized and staffed for these purposes as shown on the following organization chart:



The Department of Local Affairs is currently emphasizing the development of local governments in several ways. It is encouraging and assisting local governments to engage in the newer functions instead of continuing to concentrate only on traditional functions. Among these newer functions would be included recreation, social welfare activities, city beautification and cleanliness programs, etc. Seminars are held for the development of local government administrative and technical personnel. A constant stream of information flows outward to local governments advising them of the latest techniques, processes and practices in municipal work along with ideas on how to adapt these to the situation in Thailand. Recently, the former community Development Division in the Department of Local Affairs was up-graded to the status of a full Department with its own Director-General in order to foster rural local government. This change was made with the full cooperation and encouragement of the Department of Local Affairs as an additional step in its program of developing local government. One of the important functions of the Department of Local Administration is to coordinate local governments with other central government agencies in their developmental processes. For example, if a local government asks for a new engineer or for aid in solving a difficult road building or maintenance problem, the Department may arrange an interdepartmental conference to supply the needed technical advice; or it may present problem solutions from within its own resources. The Department is also headquarters for the National Municipal League of Thailand whose developmental program for urban local governments is discussed below in Part C, 7(7). The Department also takes the lead in representing local government interests before the central government and initiates recommendations for consideration by the Cabinet (Council of Ministers) to improve local government. In this respect it is not only an agency for control of local government, but an *amicus curiae*, pleading the cause and needs of local government. It is axiomatic that the strength and viability of local governments are largely dependent upon having adequate, independent sources of revenue. The Department's activities to improve, enlarge and add to local government revenue source is one of its most influential methods of developing strong local governments.

5. The pattern of field organization and relationship of field units to local authorities is shown on the following chart. (Table omitted.)

PART B - PRESENT LOCAL GOVERNMENT SERVICES

6. In considering the services that are now wholly operating under the orders of local authorities in Thailand a distinction must be made between those services of the States, those of the Special Purpose Local Districts and those of the Municipalities. In general, the States now have the following local government services, which are supposed to be performed outside the boundaries of the Special Purpose Local Districts and Municipalities:

1. Maintain the public peace, good order, morality.
2. Develop elementary education, vocational education and promote religious and cultural activities.
3. Expand social welfare services including social insurance schemes.
4. Prevent and cure disease; and, establish and maintain hospitals.
5. Provide and maintain waterways, road ways and public irrigation courseways.
6. Maintain the cleanliness of roads, footpaths and public places; and, collect and dispose of garbage and rubbish.
7. Provide and maintain public water supplies.
8. Provide and maintain electric supplies.
9. Provide and maintain markets and docks.
10. Provide and maintain mortuaries.
11. Provide and maintain places for sports and recreation, public parks, zoological gardens, gardens and meeting places for public instruction.
12. Promote occupational opportunities.
13. Distribute funds according to law to Special Purpose Local Districts and Municipalities.
14. Manage, control, supervise, sale, lease or transfer state property.
15. Prevent and abate public dangers.
16. Perform such other services as may be required by law or directive.

While the provisions for the exercise of these functions by States exist in law, they are in practice seldom as well-developed or all-inclusive as the enumeration would seem to indicate. To fully implement the powers, transfer of authority would have to be made from various ministries and departments to the States. Such transfers of power are only reluctantly made and it may be fairly said that the matter is presently in a transitional period. Additionally, the state governments lack budgetary resources sufficient unto their authority, with the result that most of the services mentioned above are still performed by operating personnel of central government agencies within the State, under the general supervision of the Governor as described in Part A, 2, 3 and 4 of this report.

The services now wholly operating under the orders of the Special Purpose local Districts are as follows:

- /1. Provide and





1. Provide and maintain waterways and highways.
2. Be responsible for the cleanliness of streets, footpaths and public places; and, provide a system of garbage and rubbish collection and removal.
3. Prevent and suppress epidemics.
4. Provide public water supplies, markets, abattoirs, wharves, ferries, cemeteries and crematoria.
5. Provide public electricity supplies.
6. Provide fire fighting equipment.
7. Provide and maintain hospitals and nursing homes.
8. To promote occupational opportunities.
9. Provide and maintain public parks.
10. Perform such other services as may be required by law or directive.

In considering the services wholly operating under the orders of Municipalities there are three common characteristics to be noted: (1) the functions of municipal governments and determined by their classification as a town, township or city; (2) some of the functions allotted to various classes may be compulsory and some optional and, (3) a minimum standard of service is required in each municipality for the compulsory services. The following indicates the specialized services for Thai municipal government.

OPTIONAL AND COMPIUSORY SERVICES OF THE THAI MUNICIPALITIES. BY CLASS

<u>FUNCTION</u>	<u>YES</u>	<u>TOWNS</u>	<u>Townships</u>
Maintain the public peace	Yes	Yes	Yes
Maintain roads and waterways	Yes	Yes	Yes
Prevent and suppress infections diseases	Yes	Yes	Yes
Provide fire protection	Yes	Yes	Yes
Provide 7 years of compulsory education	Yes	Yes	Yes
Provide municipal abattoirs	Yes	Yes	Optional
Provide and maintain medical services	Yes	Yes	Optional
Provide and maintain drainage systems	Yes	Yes	No
Provide and maintain electriect systems	Yes <sup>1</sup>	Yes <sup>1</sup>	Optional <sup>1</sup>
Provide and maintain maternal and child health centres	Yes	Optional	No
Provide other public health services	Yes	Optional	No
Provide and maintain markets, ferries, burial grounds & crematoria	Optional	Optional	Optional
Promote occupations for residents	Optional	Optional	Optional
Provide and maintain public hospitals	Optional	Optional	No
Provide public utilities	Optional	Optional	No

1. Electricity and water systems now being consolidated into state administered ones.

<u>FUNCTION</u>	<u>YES</u>	<u>TOWNS</u>	<u>TOWNSHIPS</u>
Provide and maintain vocational schools	Optional	Optional	No
Provide and maintain sports and recreation	Optional	Optional	No
Provide and maintain gardens and zoos	Optional	Optional	No
Engage in trading and proprietary functions	Optional	Optional	No

The communes as a unit of rural local government perform some services, but these are usually under the tutelage of the D.O. They would include:

1. Maintain public law and order and preserve the peace
2. Maintain highways and waterways
3. Prevent and suppress epidemics
4. Prevent and suppress public dangers
5. Promote the general level of education
6. Maintain the cleanliness of streets, pathways and public places and provide for the collection and disposal of garbage and rubbish.
7. Promote occupational opportunities.
8. Provide public water supplies, markets, abattoirs, docks and mortuaries.
9. Establish and maintain clinics.
10. Provide electricity supplies.
11. Provide a public meeting place, fillage green and recreation areas.
12. Promote the religious, cultural, moral and social welfare.
13. Perform such other services as may be required by law or directive.

In considering the question of the general administration of local government services, it is perhaps best to use the Municipalities as illustrative. Each of the units of local government services have general administrative organizations suited to their needs. The following chart illustrates how Thai Municipalities perform general administrative services:

<u>CLASS</u>	<u>REVENUE IN</u> <u>\$ pr. Year</u>	<u>ADM. LEVEL</u> <u>OF DEPT.</u>	<u>RANK OF</u> <u>DEPT. CH</u>	<u>ADMINISTRATIVE DEPART-</u> <u>MENT PERMITTED</u>
First Class	\$ million or more	Division	1st Grade	1) Chief administrator 2) Finance 3) Tax assessment & collection 4) Public Health 5) Hospitals 6) Police and Fire 7) Electricity 8) Water Supply 9) Transportation 10) Public Works



CLASS	REVENUE IN \$ pr. Year	ADM. LEVEL OF DEPT.	RANK OF DEPT. CH	ADMINISTRATIVE DEPARTMENTS PERMITTED
Second Class	$\$ \frac{1}{2}$ million to $\$ 1$ million	Division	1st Grade	1) Chief administrator (combined with activities of fire and police) 2) Finance (combined with tax assessment) 3) Public Health 4) Hospital (may be combined with Public Health) 5) Public Works 6) Electricity 7) Water Supply 8) Transportation
Third Class	$\$ \frac{1}{4}$ million to $\$ \frac{1}{2}$ million	Section	2nd Grade	1) Same as cities of the second class, but on section level.
Fourth Class	$\$ 150,000$ to $\$ \frac{1}{4}$ million	Section	2nd Grade	1) Chief administrator (combined with fire and police) 2) Finance (combined with tax assessment) 3) Public Health 4) Public works (combined with transportation) 5) Electricity 6) Water Supply
Fifth Class	$\$ 50,000$ to $\$ 150,000$	Unit of Section	3rd Grade	1) Chief administrator (combined with fire and police) 2) Finance (combined with tax assessment) 3) Public Health 4) Public works (combined with transportation) 5) Electricity 6) Water Supply
Sixth Class	$\$ 25,000$ to $\$ 50,000$	Unit of Section	3rd Grade	1) Chief administrator (combined with public health, fire & police)  /2) Finance

CLASS	REVENUE IN \$/ pr. Year	ADM. LEVEL OF DEPT.	RANK OF DEPT. CH	ADMINISTRATIVE DEPARTMENTS PERMITTED
				2) Finance (combined with tax assessment) 3) Public works (combined with transportation) 4) Electricity 5) Water Supply
Seventh Class	\$15,000 to \$25,000	Unit of Section	3rd Grade	1) Chief administrator (combined with public health, police and fire) 2) Finance (combined with tax assessment) 3) Public works (combined with transportation) 4) Electricity and Water Supply
Eighth Class	Less than \$15,000			1) Chief administrator (combined with all activities except finance and public works) 2) Finance (combined with tax assessment) 3) Public works.

The majority of Thai Municipalities are in the fifth, sixth and seventh classes. The criteria for administrative organization was established in order to ease the supervision and control of the Ministry of Interior and to reduce the immediate, daily concern of the Civil Service Commission with municipal personnel.

PART C - CENTRAL SERVICES PROVIDED TO OR  
SUPPORTING LOCAL AUTHORITIES

Thailand has no central Organization and Methods Office as such. Reference to preceding sections of this report will indicate that most of the major ministries have local field units, whose work has been discussed in Part A. Thailand has recently created a new Ministry, the Ministry of National Development which also has several departments and divisions maintaining field offices. The new Ministry is to coordinate and expedite infrastructure projects. The Prime Minister holds this additional portfolio and he has stated that economic and social development of the country is most important and projects to set up infrastructure on which development plans can be based should be hastened to completion under the aegis of the Ministry. The Ministry will handle development projects whose completion should be speeded up, surveys and research for future development, major projects which affect the security of the country, projects which provide services to the public and projects which provide economic foundations. There are 12 major departments in the Ministry as follows: (1) the Secretariat, (2) the Undersecretary's office, (3) the Technical and Planning Office, (4) the State Highways Department, (5) the Irrigation Department, (6) the Thai Technical and Economic Department, (7) the Land Development Department, (8) the Commercial and Marketing Cooperative Department, (9) the Land Cooperatives Department, (10) the Mineral Resources Department, (11) the Cooperatives Audit Department, (12) the National Lower Commission.

There are several research and training institutes dealing with local government matters. The Ministry of Interior maintains a Civil Servant Training Center which is currently being expanded and moved to larger, more modern quarters. The center features a new Administrative Institute in which all aspirants for administrative work from the District level (amphur) upward will have to undergo pre-entry training before being accepted into the Ministry's civil service. Local government officials will be included in this program.

The Government's in-service training policy is in a decentralized form. The various Ministries and Departments are responsible for the in-service training of their own staffs. In addition, the Institute of Public Administration of Thammasat University maintains an In-service Training Division which is responsible for training Government officials in compliance with the Government's policy for increasing the performance efficiency of officials and employees. Selected personnel from various Ministries and departments participate in this organization's in-service seminar program. Technical assistance is given in such courses by the Institute. More than 3,600 Government servants have participated in these programs in the past three years. Additional training has been

/provided by

provided by the institute for (a) supervisory training, (b) mail and records management, and (c) a series of programs for training state Governors, and District Officers. A program of Executive Development was held last year for participants at a very high level, attended by those ranking as Directors-General and above. More than fifty "special grade" (the highest civil service rank) have attended such courses from various ministries including the Ministry of Interior.

Additional training and research in local government is part of the program of the National Municipal League of Thailand. (See references to these programs under the sections below dealing with "Associations of Local Authorities").

Additionally, the Departmental of Local Administration has developed a new type of training called the "Mobile Seminar", which is perhaps worthy of extended comment because of its applicability to the other nations in the EC&FE region.

The usual schoolroom approach did not seem suitable for division chiefs, nor could these busy men take several weeks off from their work for refresher seminars. The new techniques devised for the "mobile seminar" feature informality, mobility, brevity, voluntary attendance and thoroughness of both preparation and participation. The seminars are scheduled on Friday afternoons and Saturdays. At noon, Friday, a pre-seminar briefing is held for those taking part. Shortly thereafter the mobile "seminarites" leave the Ministry of Interior by bus for a four or five hour trip to a resort, recreation or training area. Travel by bus is an innovation because most of these officials have Government cars at their disposal. Sport shirts are worn. Friday afternoons are devoted to travel and a brief visit to the places of interest in the seminar area (Waterfalls, parks, orchards, the seaside, etc). Commencing with Friday dinner, all meals are taken in common. Departmental Directors-General join the department and division chiefs and participate in the learning and discussion processes. The evening is left free for informal discussions and many men who have worked side-by-side in the same building who did not have time to talk with each other because of the press of business find themselves engaged in active debates on public administration until the wee hours of the morning. An unexpected bonus has resulted from the inclusion of state and district officials in both the formal and informal aspects of the mobile seminar program. "Upcountry" Officials are able to discuss their problems with Ministry of Interior officials and the presence of more than 25 division chiefs enabled local officials to obtain guidelines, policy decisions and suggestions for solution to local problems that would take many days if the local officials had to come to the capital city for inter-divisional meetings.

At 0830 on Saturday the formal seminar begins. Under qualified leadership the seminar covers various aspects of public administration, with each seminar devoted to a single topic. Participants are encouraged to answer questions and discuss any phase of the matter being studied. A recess is called from 1130 to 1300 hours during which a lunch is taken in common. At 1300 the group re-assembles in the seminar hall where a recapitulation of the previously discussed problem takes place. The sporting blood of the participants comes into play by the drawing of lots to determine who will lead the discussions. This insures maximum attention because no man wants to be shamed before his colleagues by lack of knowledge concerning the seminar's work. Questions, informed opinions, comments and the give-and-take of informal discourse are encouraged. At the conclusion of discussions a short test is given to all. There are no grades. Each person grades his own paper based upon the remarks of the discussion leader as he goes back over the questions in the examination. When the group itself is satisfied that it has thoroughly understood the subject there is immediate adjournment. The return bus trip to Bangkok has no fixed departure or arrival time, although dusk is target time for arrival.

Results "mobile seminar training" have been outstanding. Unanimous request was made to the Department of Local Affairs to continue the mobile seminars at the conclusion of the first series. Discussions become more lively with each session. Firmer friendships and a much easier working relationship now exists between officials. There is now less inter-division in-fighting at weekly permeates staff meetings resulting in quick decisions taken for the benefit of all regardless of what were formerly thought of as sacrosanct and time-honored prerogatives of one division or another.

In concluding this section of the Thailand report on the research and training institutes section of the ECARF outline; mention should be made of the Research Program of the Institute of Public Administration which has been established to undertake studies and research on the administrative process in Thailand. The activities of the Research Division of the Institute consist of conducting surveys on various items at the request of Government agencies; research on the administration of central departments with particular emphasis on their state and local operations; and the development of case studies for use in teaching students of public administration at the various universities. The overall policy of the Research Division is to promote and improve research in public administration. As part of this program, the Institute of Public Administration issues many publications, reports and journals which are widely distributed throughout Thailand.

The organization used to maintain standards of recruitment and to exercise general personnel management services for local government staff in Thailand is the Municipal Civil Service Commission and other agencies of the Ministry of Interior, Department of Local Administration. There are three

/levels of

levels of organization in the municipal civil service: central, state and municipal. At the central level the Municipal Civil Service Commission consists of the Minister of Interior as chairman, the Deputy Minister, the Undersecretary, the Director-General of all the departments in the Ministry and the Director of Bureau of Local Administration who serves as Secretary. There is a similar commission in each state with the Governor as chairman and membership consisting of the chiefs of the sections of the state government and the municipal inspector who serves as Secretary. There is a sub-committee of the commission in every corporate municipality, with the Mayor as chairman, his adjoints and the chiefs of the municipal sections as members with the chief administrator of the municipality serving as secretary.

The Municipal Civil Service Commission has two main functions. It is responsible for executing national policies vis-a-vis the merit system and it serves as the agency for recruitment, appointment, promotion, transfer of municipal personnel as well as in exercising disciplinary control of local government personnel throughout the country. The Commission also administers the Civil Service Scholarship program for study abroad, in-service training and the investigation of mis-conduct on the part of municipal personnel. The Commission has established procedures for securing competent personnel for local government service and for monitoring their performance and conduct. Its provisions for recruitment, appointment, rank classification, promotion, transfer, salary and discipline are identical to those of the civil service system for central governmental personnel.

The Department of Local Administration is also responsible for execution of the nation-wide local government retirement plan, death benefit plan and various other programs of social welfare for local government employees and officials; centrally managed and administered.

As has been indicated, the local government civil service corps follows closely that of the corps for national government service. In the manner described in the preceding paragraphs the National Civil Service Commission has jurisdiction over the whole government service and it is able to foster training and cooperation among field personnel of different agencies. The central government's policy of "decentralized" training programs should be borne in mind, however, in consideration of this point. The National Civil Service Commission is organized into a division of civil service regulations, division of examinations, division of personnel records, division of discipline and appeal and a division of students abroad.

One of the most significant advances in Thai budgeting was made in October, 1959, to strengthen the central budgeting agency when a new Budget Procedure Act was approved by the National Assembly. Under this law the Budget Director has the power and duty to prepare a budgetary



plan for submission to the Council of Ministers and the National Assembly for action. The Budget Office is now the central analytical and coordinative agency of the Government in the budget preparation process. Instead of merely assembling and checking the arithmetical accuracy of agency requests, the Office is by law required to analyze and adjust requests in keeping with financial policies prescribed by the Council of Ministers. The Office also plays a major role in advising the Council of Ministers as to ceilings which should be applied to agency expenditures and allotments. The Budget Office is organized for this work into a central division and six technical divisions. Four of the latter coordinate budget preparation, analysis and budgetary control of Governmental agencies. Budget estimates are submitted to these four divisions. The other two technical divisions are concerned with (1) preparing budget instructions, forms, procedures and assembling and printing the budget; and (2) estimating revenues, drafting appropriations bills and preparing financial statements for the annual budget. The budget document now consists of five volumes:

- a) The appropriation act,
- b) The revenue and expenditure classifications and comparisons,
- c) The expenditure budget,
- d) The revenue budget,
- e) Financial statements.

Modern techniques of budget building and analysis are employed by the Office and after the budget has been adopted, adherence to the budget plan is secured by: (1) pre-audit of expenditure documents by the Comptroller General's Department and (2) through an allotment system enforced by the Comptroller General and the Budget Office. The allotments are authorized in advance for expenditure in each quarter of the fiscal year and authorized by the Office on the basis of allotment requests submitted by Government Departments. The approved allotments are set up on accounting control ledgers maintained by the Accounting and Disbursement Division in the Comptroller General's Department. The Budget Office and the concerned spending agencies are informed of allotment balances by regular accounting reports, and payments beyond authorized allotments will not be processed by the Comptroller General.

The two central planning agencies of which mention has not heretofore been made are the National Economic Development Board, an independent agency under the chairmanship of the Prime Minister, and the Town and Country Planning Office in the Ministry of Interior. The National Economic Development Board is responsible for the documentation, preparation and presentation of the national six-year development plan and for keeping it up-dated in accordance with current conditions. The new plan to be issued in 1964 for the first time will contain a section on development expenditures and activities of local governments in Thailand. The Board is organized

/into one



central section and a dozen technical divisions including: economic research, economic planning, projects, economic affairs, evaluations, national income, national expenditure, capital formation, etc.

In October, 1962, the National Town and Country Planning Office was given permanent status in the Ministry of Interior. Its major activities are concerned with city planning activities within municipal corporate limits. The need for the new planning agency arose out of the rapid growth which is taking place in the cities of Thailand and the equally rapid changes which are taking place in traditional modes of living. Combined with a desire to bring about guided economic development and to create more attractive urban environments, these needs are to be fulfilled through the activities of the planning agency.

The loan agency for local authorities in Thailand is the Ministry of Interior. It makes loans to municipalities for developmental purposes from the Municipal Promotion Fund and the Local Government Employee's Pension Fund. By law each municipality is required to remit 5% of its gross revenue to the Ministry as a reserve fund, on which it receives 5% interest. These remittances are revolved into the Municipal Promotion Fund from which loans may be made for projects, public works and capital improvement programs; at current rates of interest averaging 6%, although legal authority exists to charge as much as 10% interest. The Bureau of Local Government also acts as trustee for the Pension Fund from which loans may also be made. All municipalities must contribute 3% of their gross revenues to this Fund to be ultimately used for meeting the financial obligations of the Local Officials Pension and Gratuity Act of 1957. The Funds are administered by a Board consisting of the Minister of Interior as Chairman, the Undersecretary of the ministry, the Director General of the Department of Local Administration and his two deputies, three representatives from Thai municipalities and the Director of the Bureau of Local Government who serves as secretary. Although the amount of loanable funds is not great, the arrangement demonstrates a cooperative effort under the guidance of the central government to pull together potential financial resources to create a loan fund and agency for local authorities.

There is one association of local authorities in Thailand, the National Municipal League, which was founded in 1960 and patterned after the American Municipal Association and the International Union of Local Authorities. It is non-political, non-partisan and is designed to improve the level of service and standards of performance of municipal government. It is devoted entirely to advancing local self-government in Thailand and increasing the efficiency and economy of local government. It has a full and complete program as described below.

- (1) To study and perform research in technical and legal fields which are useful to municipalities and to publish the results

/thereof;

thereof;

- 2) To promote harmony, mutual aid, technical assistance and interchange of ideas among its members;
- 3) To provide opportunities for the members to meet together and exchange experiences in solving the practical problems encountered in municipal operations;
- 4) To provide training courses for municipal personnel;
- 5) To promote the welfare and improve the level of performance of municipal personnel;
- 6) To act as a sounding board for the formulation and presentation of ideas, policies and programs concerning local government and to transmit these matters through the Ministry of Interior to the Government of Thailand;
- 7) To cooperate with international institutions and organizations in promoting local government and its improvement; and,
- 8) To assist in charitable and all other activities that promote the welfare of local authorities.

The membership of the NML is made up of all 120 municipalities with membership being in the name of the municipality, itself. Privileges of membership are exercised by the Mayors of the municipality-members, with the advice and assistance of the municipal clerk. Officials, staff, clerical assistance, office space and, a grant-in-aid are provided to the NML by the Department of Local Administration as one of its programs of central assistance to Local Governments.

To carry out its aims and purposes, the NML has developed a full program that is noteworthy for its comprehensiveness.

#### (1) The Research Program

Research is performed by staff members who are employees of the NML or the Ministry of Interior on pertinent problems of local government. On occasion, research is commissioned on particular problems by practitioners of municipal government or academic persons. The Executive Committee of the NML has donated \$ 200 to Thammasat University for the award of an annual gold medal for the paper or study on municipal government which is deemed worthy for the honor by the faculties of Political Science and Public Administration.

#### / (2) The Publications

(2) The Publications Program

The NML has published more than 100 booklets, pamphlets or handbooks detailing recommendations and experiences on specific municipal tasks or projects. Reference manuals have been published and distributed to members and interested persons on professional aspects of municipal personnel, such as engineering, accounting, sanitation, etc.

The NML publishes a monthly magazine which is distributed to all members of the League, which contains articles of interest.

(3) The Annual Conference Program

One of the most important NML is its annual conference attended by delegates from every municipality in Thailand. Conference attendance has averaged 300 delegates for the past four years during which conferences have been held in Chiangmai in the North, Songkhla in the South, Udorn in the Northeast and Bangkok, in central Thailand. Conferences run for about eight days during which time a full range of activities is presented for the attendees including work sessions, discussion groups, plenary sessions, lectures and instruction with audio-visual aids. Experts both Thai and foreign have participated in these meetings bringing the municipal officials a distillation of many years of practical experience and knowledge in local government. The conference has a balanced program designed to provide information, give technical training, encourage exchange of ideas among members, and increase the fellowship among operating municipal officials from all parts of the Kingdom. The policies of the NML are set at the annual conference by the members in the form of democratically adopted and debated resolutions which become the guide for the future year's work of the staff and officers. These resolutions represent the considered municipal polity of municipal officials in Thailand.

(4) The Regional Meeting Program

In the near future, the NML will add to its dimension by organizing a series of regional meetings to take place in various, natural groups of provinces. This policy was adopted by the Executive Committee in March 1963. These short, working meetings will feature "how-to-do-it" sessions for specific groups of operating officials.

(5) The Educational Program

The magazine is a major tool of the educational program. It carries illustrated material aimed at improving the individual municipal officials in his professional, social and cultural life. In addition

/ to articles of

to articles of professional interests English lessons and other educational material re included in each issue.

The educational program improves the efficiency of municipal employees, establishes more uniformity in the performance of municipal tasks throughout the country, develops a spirit of "professionalism" among municipal government employees and improves the performance level of individual employees and thereby improves local government services for the urban citizens of Thailand.

A by-product of the educational program has been the opportunity to discover the encourage unusually gifted employees and to advance their careers in Thai local government service.

(6) The Municipal Reference Library Program

The Municipal Technical Advisory Service Program<sup>1</sup>

The NML has organized and collected a specialized Municipal Reference Library that currently has about 2,000 pieces of literature, periodicals and other technical information for research use in municipal government and local administration. The collection is designed to provide comparative information on municipal performance, laws and activities in other countries, both the more highly developed and the developing ones. There are also reference materials for the use of national government employees who are concerned with aspects of municipal government. Utilizing the reference library, any operating official in Thailand can obtain information and advice on the programs, problems, practices and methods of municipal organization, management, finance and operations. The NML encourages enquiries by mail from members and answers all questions on the basis of the information developed from the Municipal Reference Library.

The Library forms the backbone of the NML's embryonic Municipal Technical Advisory Service. This service to League members makes available to them, upon inquiry from the field, either technical, written advice or a visit from a member of the NML's staff to help solve a particular operating problem. The strongest sector of the Municipal Technical Advisory Service is in the field of municipal recreation. By agreement with the Asia Foundation a full time, highly-qualified American recreation specialist / has been

1. In 1961, the NML received a grant of \$2,000 from the Asia Foundation which was sufficient to provide about one-third of the present collection of municipal reference library materials. The remainder was obtained from within the League's own resources.

has been made available to the NML to provide technical recreation advice for all Thai Municipalities. More than 90% of the League's 120 members has availed themselves of this technical advisory service. In 1962, the League appointed a qualified, full-time Thai employee to continue this phase of its Municipal Technical Advisory Service upon the departure of the recreation specialist in June, 1963.

#### (7) The Training Program

In three years, the NML has become a major sponsor of in-service training in Thailand. In addition to its continuing program of educational activities described above and the training which takes place at the annual conference, the League has completed six formal in-service training courses that have been attended by over 700 municipal officials from every part of Thailand. Each training program has been guided by the over-all necessity to improve efficiency and economy of performance. The latest techniques, practices and regulations have formed the core of curriculum. Specific Technical and professional information has been imparted to the trainees to meet their different needs in actual operating conditions. The in-service training courses have been held in the Ministry of Interior's training and at the Health Department's training center.

#### Statistical Presentation of In-service Training Courses to Date

OFFICIALS ATTENDING THE COURSE	DURATION OF COURSE	NUMBER- TRAINED
City Clerks	1 Feb -13 March 1961	45
District Sanitation Officers	7 Dec -23 Dec 1960	120
Accountants (municipal)	12 Nov -24 Nov 1961	158
Chief Engineers (municipal)	14 June-30 June 1961	126
Municipal Veterinarians	28 Jan -12 Feb 1962	81
Public Relations Officers	16 Apr -25 April 1962	130
Rural Municipality Doctors	24 July-10 Aug 1963	36
Section Chiefs, Bangkok/ Thonburi	Aug - Sep 1963	28
Total number of officials trained :		724

#### (8) The International Cooperation Program

The NML closely follows the work of international organizations in the field of municipal government. It has sponsored the training of a young Thai official in Israel at the offices of the Israel Union of Local Authorities. Reports from Thai municipal officials who travel abroad /and who study



municipal government are always distributed to all members in League publications.

In 1961, the NML sponsored an international visit by more than 200, Thai municipal officials to Penang in Malaya. This marked the first time that such a large group of officials journeyed together outside of Thai borders for group observation and study in a foreign country. Visits were arranged to municipal installations in Georgetown, discussions were held with various municipal officials and a thorough explanation of the role of municipalities in Malaya was accorded the Thai officials during the two day tour.

In 1962, the NML sponsored a tour for 18 Thai municipal officials who visited Hong Kong, Taipei, Manila and Tokyo. The two week program featured detailed study and observation of such municipal activities as youth centers, public works, street cleaning practices.

The NML is a member of the International Union of Local Authorities and its President serves on the Board of Directors of IULA. Delegates from the NML attend the international meetings of this organization at which speeches and papers on local government in Thailand are always presented.

The NML frequently prepares reports for publication by various international organizations on local government services, history, traditions and practices in Thailand.

There are no professional and staff associations for local authority personnel in Thailand.

Of course, all government agencies in Thailand are concerned with the improvement of local government especially as it relates to the field work of the Ministries and departments. Previous paragraphs have indicated the way in which such interest is manifested. The National Municipal League is a quasi-governmental organization engaged in such activities. With the exception of the various social welfare organizations, the Red Cross and similar organizations, there are no non-governmental agencies concerned with improvement of local government.

Financial assistance to local governments is available in the form of central government grants-in-aid. At the present time, considerable sums are granted the municipalities for financial assistance. 75% of such sums are used for defrayment of salary and wage expenditures, with the remaining 25% available for such projects as meet the approval of the Ministry of Interior. These grants constitute about 40% of total municipal budgets. The municipalities also receive considerable sums from centrally-collected, locally-shared taxes. For example out of every dollar collected by the central government as the registration fee for motor vehicles, 50% is set

/aside and

aside and returned to municipalities; 25% is set aside and returned to the Special Purpose Districts; authorized to subjoin additional centines to other central government taxes such as liquor taxes, beverage tax, taxes levied on certain kinds of gambling, and the business turnover tax. Finally, municipalities receive a share of the central government's export premium tax on rice. Municipal borrowing from non-governmental sources is subject to the approval of the state governor and the Ministry of Interior.

Local governments in Thailand are audited by central government officials. The National Audit Council has a section specifically charged with auditing state accounts and the accounts of municipalities. Audit of fiscal operations includes determining the validity of payment, accuracy of statements and propriety of handling funds. Bank accounts and statements are verified and deposits must be kept in banks which meet the approval of the Minister of Interior.

The supervision exercised by higher authorities upon local authorities in Thailand cannot be said to be minimal. As indicated, the Ministry of Interior is the agency mostly concerned with this activity. Regular, daily administrative control and supervision is exercised in major areas of local government activity and interest. The relationships between central government agencies are constant and intimate. Supervision is exercised over local officials by the state Governors who are themselves appointed by the Ministry of Interior. An extensive reporting system exists. Those reports flow constantly from local authorities to the Department of Local Administration, through the Governors. The reports are monthly, bi-monthly or annual depending on their content which ranges over such things as general administration, civil registration, meetings of the municipal council and/or executive committee, meetings with the staff, meetings of the local civil service sub-committee, the fiscal situation, education, public health, public works, public utilities, transportation, etc. An independent check comes from the municipal inspections who send their reports to the Ministry of Interior through the Governors in which each municipality is reported on at least six times a year. Financial supervision of local authorities takes the form of budgetary controls, rates for tax levies, and audits described above. Municipal budgets are treated as a bye-law and as such are subject to the veto of the state Governors or the Ministry of Interior. The Ministry of Finance levies and collects the bulk of the locally-shared tax revenue of local authorities. Local authorities can only levy such taxes at such rates as prescribed by central government authorities.



8. There have been several general directives and promulgated Government policy statements about the development of local authorities and the decentralization of powers. The national policy and the role of the Ministry of Interior regarding the devolution of local self-government can be divided into four important periods: first, the period from the first promulgation of the Municipal Act in 1933 to 1938; second, from the Municipal Act of 1938 to 1952; third, from the period of 1932 to 1958; fourth, from 1958 to the present. However, in all periods the same common objectives were pursued in national policy. The first of these aims was to familiarize and popularize democratic practice for the Thai people by using municipal government and administration as a school for political training leading to the higher plane of parliamentary government. The second objective was to establish municipal government as a local institution to bring such national policies as the public health program directly to local people. A third aim was to assign to the municipal government a dual responsibility; (a) compulsory functions to maintain a minimum standard of welfare activity; and, (b) according to the degree of urbanization to provide for the special interests and needs of urban residents. Since the objectives were the same, the period from 1933 to 1958 differed only in the emphasis placed by the central government on one or another of the objectives. The clear and present dangers to the national welfare as a result of internal subversion and potential aggression since 1958 has served to slow down the basic trends. The central government understandably has tightened controls recently in order to meet these grave threats. However, the basic trend toward local autonomy underlines current developments and will no doubt continue to be a part of the 20th century scene. Town meetings and local elections for village and hamlet headmen are still the rule, although the central government has felt it imperative to temporarily suspend municipal elections. In a developing country, it is just as important to allocate scarce personnel resources as it is to allocate physical and monetary resources. For this reason, under the guidance of the Ministry of Interior, outstanding men have been selected and appointed to municipal office throughout the country.

The number of local authorities is constantly growing. Although the present 120 municipalities were all created prior to 1957, the number of Special Purpose Districts (sukhapibans) is growing at the rate of about 10% a year. The present activity of the National Municipal League and its growing program is a reflection of the policy of decentralizing as the ability of local authority personnel grows to the point where it can absorb the fulfill the responsibilities attendant upon devolution of and decentralization of services.

9. The relationships between ministries responsible for various services and local authorities has been covered elsewhere in this report, particularly in Part I.

/10. The main

10. The main problems of local authorities and priority needs for assistance and supervision may be classified as follows:

- 1) The need for adequate revenue sources, enlarged tax bases and improved collection techniques in order to support modern levels of local government service.
- 2) The need to improve the prestige and status of local government service.
- 3) The dire need for training in all fields of administration as well as technical services.
- 4) The need for modern enabling legislation to help local authorities to perform modern tasks, e.g. zoning, subdivision control, off-street parking laws, special assessments, excess land condemnation powers, speedy and operable powers of eminent domain, etc.
- 5) Increased education at all levels of the populace in order to dispel the myth that all wisdom resides in the capital city and that only there can problems be solved or governmental services be planned, programmed and performed.

FOR PARTICIPANTS ONLY

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11 OCTOBER 1963

ORIGINAL: FRENCH

UNITED NATIONS/EROPA SEMINAR ON  
CENTRAL SERVICES TO LOCAL AUTHORITIES

21 October to 6 November, 1963

Country Paper: Viet-Nam

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FOR PARTICIPANTS ONLY

CSLA/3

11 October 1963

ORIGINAL : FRENCH

BASIC COUNTRY PAPER - REPUBLIC OF VIET-NAM

Basic Information

1. Historial and geographical factors affecting the pattern of decentralization

In the course of its history Viet-Nam has several times been under Chinese domination, the last period beginning in the 17th century. This was followed by French occupation for almost a century (1884-1945). Imbued with Confucian precepts, the Vietnamese have been essentially an agricultural people and the vast majority still live in rural centres. This explains the decentralized structure.

The village was regarded as the basic decentralized unit in the 10th century, under the Le dynasty, but not until the 15th century did it enjoy a substantial measure of decentralization by virtue of the election of communal authorities and the non-intervention of the central government in local affairs. Every village drew up a charter defining the responsibilities and rights of the communal authorities and the public. The villages were grouped in districts which in turn made up the provinces. The districts and provinces were not decentralized

/units as

units as their administrators were appointed by the king and was responsible to him.

Under French rule, decentralization extended not only to villages but also to municipalities, provinces and regions. Now, with independence, the Prefecture of Saigon (the capital of South Viet-Nam), municipalities, provinces and villages are decentralised communities.

## 2. General description of internal communications

Until the first half of the 19th century our communications system was rudimentary: apart from one road for vehicles, running the entire length of the country from the Nam Quan Gate in the north to Camau Point in the south, there were tracks of various widths linking villages, provinces, districts and communes. The development of communications begun under French rule is continuing today at an increasing tempo. Now, in 1962, the total length of the road network is about 15,000 km. The waterway system is also highly developed, as our country is criss-crossed with rivers and canals. There are many internal air services linking major towns and provinces with the capital. Railway lines now in operation total 1,250 km.

The development of internal communications was recognised as a major factor in decentralization, which can therefore be expected to increase in Viet-Nam as elsewhere.

3. General organization of the central government and state governments, if any

The Presidency (the President of the Republic is assisted by a Presidential Secretariat of State, Cabinet Office, Private Secretariat, General Secretariat, etc.).

Secretariats of State (for National Defence, Interior, Foreign Affairs, Justice, Welfare, National Economy, Finance, National Education, Rural Affairs, Health, Labour, Public Works and Communications).

Co-ordinating Secretariats:

Co-ordinating Secretary of State for the Security Sector (National Defence and Internal Affairs).

Co-ordinating Secretary of State for the Economic Development Sector (National Economy, Finance, Rural Affairs).

Co-ordinating Secretary of State for the Social and Cultural Sector (National Education, Health Welfare).

General Administrations attached to the Presidency; headed by General Directors and under the direct authority of the President of the Republic: (Civil Service Administration, Planning Administration, Budget and Foreign Aid Administration, National Institute of Administration, Atomic Energy Office, Social Affairs Administration).

There is now a tendency to reduce the number of General Administrations, some of which have been attached to the Secretariats of State.

Public corporations with legal status, an independent budget and their own property (Pasteur Institute, Commercial Bank, Agricultural Loans Office, Thu-Duc National Orphanage, commercial or industrial establishments such as the Tan-Mai sawmills, Nong-Son collieries, etc.), chambers of commerce.

Inter-ministerial commissions set up to study major issue involving several departments: (Cabinet Council, Banking and Currency Council, Agrarian Reform Council, the inter-ministerial commission for carrying out the strategic village policy, etc.).

Control bodies: jurisdictional (Saigon Administrative Council, State Council of Viet-Nam) or administrative and financial (General Inspectorate of Administrative and Financial Services, inspectorates of the Secretaries of State for Finance, Labour, the Interior, etc.).

#### 4. General organization of local government

In Viet-Nam it would be more correct to speak of local administration than local government as the Republic of Viet-Nam is a single state and not a federation. Local administration here means not only the administration of decentralized communities

/such as the



such as the Prefecture of Saigon, municipalities, provinces, communes, villages and close groups of families, but also non-decentralized localities such as regions, districts and cantons.

- (1) The local government structure, with the qualification just mentioned, is as follows:
  - (a) Areas administered by Government Deputies appointed by the President of the Republic and responsible to him (there are four at present: for the delta of central Viet-Nam, the High Plateaux of central Viet-Nam, the south-western area of south Viet-Nam and the eastern area of south Viet-Nam).
  - (b) Prefecture of Saigon and the municipalities: Hue, Dalat, Tourane.
  - (c) Provinces (now include Con-Son island - formerly Poulo-Condore - and the three new provinces of Chuong Thien, Quang Tin and Phu Bon).
  - (d) Cantons.
  - (e) Villages (about 2,700).
  - (f) Hamlets and strategic villages (about 12,000).
- (2) The urban areas consist of the Prefecture of Saigon, the secondary municipalities (Hue, Tourane, Dalat) and the provincial capitals. There is only one metropolitan area at Saigon, consisting of suburbs: Thi-Nghe, Phu-Nhuan, Go-Vap, Ba-Chien, etc. A university township

/and centre

and centre have been established at Thu-Duc under Decrees 215/GD of 20.9.1960 and 110/GD of 9.5.1961.

- (3) The Secretary of State for the Interior is responsible for supervising, supporting or strengthening local authorities in their general administrative work. Other State Secretariats (except that of Foreign Affairs) carry out the same functions in the fields with which they are concerned; for instance, problems connected with public works, education and health are the responsibility of the local offices of those departments.

5. Regional departmental structure and the relation between regional departments and local public authorities

As mentioned above, every decentralized community has regional departments (except Foreign Affairs), for example, those of Health, Education and Public Works.

It should be emphasized that the heads of local offices are appointed by the department concerned and remain under its technical supervision. However, as these offices function in the territory of decentralized communities, their technical staff (including the head of the office) are under the political and administrative authority of the chiefs of provinces or mayors of municipalities.

6. Offices functioning wholly under the direction of local public authorities

Apart from the regional departments under the political and administrative control of the local public authorities just mentioned, each decentralized community has regional offices directed entirely by those authorities. The administrative structure of a province, for instance, laid down by Decree 217 BN/NC of 25.3.1961 is as follows:

The Cabinet

Department of Internal Security and Military Affairs

Department of General and Local Administration

Finance Department (provincial accounts and communal accounts)

Department of Economic and Social Affairs (Economy, Social Affairs, Health and Public Education).

7. Services and support extended to local authorities by the central government

- (1) Central offices of organization and method research and similar services of the principal ministries with local offices:

In the administrative field, the Secretariat of State for the Interior, the Civil Service Administration and the National Institute of Administration are responsible for the methods and organization of administrative bodies throughout Viet-Nam.

/In the financial

In the financial and economic field, the Planning Administration is concerned with the preparation and execution of economic development plans. The Budget and Foreign Aid Administration is responsible for the control and fulfilment of local budgets, while the imposition and collection of taxes is the function of the Secretariat of State for Finance. Moreover, the principal Secretariats with regional or local offices, such as those for Rural Affairs, Health, Finance, Public Works and Communications and National Education, are required to assist the communities (by offering advice and suggestions, placing staff and technical equipment at their disposal, etc.).

(2) Research and training institutes concerned with local government matters

The Secretariats of State have research and documentation sections or offices, which also deal with problems relating to local government. Special mention might be made of the role of the National Institute of Administration in training officials at the "Administrator" level (Doc-su) for service in local administrations as assistance to chiefs of provinces or as chiefs of districts. For 39 provinces and 4 municipalities (Saigon, Hue, Tourane and Dalat), 27 further training centres for civil servants have been established by the National Institute of Administration in collaboration with the Secretariat of State for the Interior. In other provinces and  
/municipalities,

municipalities, further training courses have been arranged by local authorities with assistance from the National Institute of Administration.

- (3) Organization or institution responsible for maintaining recruitment standards and administering personnel in local government

The Civil Service Administration draws up and enforces the general regulations for civil servants and special regulations governing recruitment and administration of local and central government personnel. The Secretariat of State for the Interior also exercises control over administrative personnel in local government (Prefecture of Saigon, municipalities, provinces, districts and villages).

- (4) The measure of central personnel administration to which all civil servants are subject and which facilitates training and co-operation between officials at the local level

The Civil Service Administration and the Secretariat of State for the Interior administer and control local government personnel. An inter-ministerial commission, consisting of the Secretary of State for the Interior, the Director-General of the Civil Service and the Rector of the National Institute of Administration, is responsible for organising training courses for central and local government administrative and technical staff.

(5) Central budget and planning services

- (a) The Budget and Foreign Aid Administration, established by Decrees 732-TTP/VP of 24.4.1957 and 689-TTP/MSNV of 21.4.1958, is attached to the Presidency. It compiles overall estimates of expenditure and resources, prepares the national budget and supervises its fulfilment. It also participates in the preparation and fulfilment of local budgets. Provincial and village budgets have to follow a pattern laid down by this Administration.

- (b) The Planning Administration, established by Decrees 17/TTP of 14.11.1953 and 157-TTP/VP of 3.12.1955, is under the direct authority of the Presidency. It draws up plans designed to raise the standard of living and develop the economy, industry and handicrafts.

(6) Institutions responsible for loans to local authorities

Properly speaking, our country has no special institutions for granting loans to local authorities. In practice, however, the banks and the Civil Pensions Fund extend loans to them. For instance, Phu-Yen province borrowed 7 million

piastres from this fund to finance a low-cost housing programme.

(7) Local government associations

Our country has no local government associations, like commune or rural associations. From time to time chiefs of provinces meet for conferences presided over by the Secretary of State for the Interior to discuss common problems. The regional Deputies can also summon the chiefs of provinces for consultation on urgent matters to enable them to report to the President. At the village level, some provinces have established a "mutual assistance fund" by drawing on certain resources of rich villages to meet the budget deficits of poor communities.

(8) Professional and staff associations at the local level

In accordance with article 22 of our Constitution, the State encourages and supports mutual aid associations whose purpose is not speculation. Civil servants can therefore form associations to protect their interests. There is, for instance, the "League of National Revolutionary Civil Servants", which has branches in the provinces. Its purpose is to regenerate the civil service at both the central and local levels and imbue its members with a sense of integrity and dedication to the public interest.

/(9) Governmental



(9) Governmental and non-governmental institutions concerned with improving local administration

The principal aim of the National Institute of Administration at present is to improve local government. Its primary function is to train "Administrator level" officials for central or local government service. In collaboration with the Secretary of State for the Interior and the Director-General of the Civil Service, the National Institute of Administration also organizes further training centres for local government administrative and technical staff.

(10) Forms of financial assistance, account verification and control

The central Government extends financial aid to local communities in the form of subsidies of three types:

- (a) To balance local budgets
- (b) Based on the resources of local communities
- (c) For payment of allowances due to members of communal councils (subsidies for specific purposes).

As stated above, the Mutual Assistance Fund was instituted by Order 2497 of 25.5.1957, under which all communities contribute one tenth of their direct taxes and one quarter of their market tax when the revenue exceeds 100,000 piastres. This fund provides subsidies for needy communities.

/The body

The body granting the subsidy is responsible for verifying the accounts and controlling the use of the funds. The Budget and Foreign Aid Administration also exercises control. A provincial treasury department in each province keeps a check on revenue and expenditure under local budgets.

The chiefs of districts and provinces, as representatives of the central authority, the Finance Inspectors and the Administrative and Financial Affairs Inspectors are also empowered to exercise control over the use of subsidies.

#### GENERAL

1. Viet-Nam recently undertook an extensive programme of local government reform. In an essentially agricultural country fighting against three evils -- communism, under-development and separatist tendencies -- any reform must begin at the bottom: the infrastructure of villages (including the strategic villages) and family communities. Decrees 45-NV of 3.5.1963, applying the principle of decentralization at the local level, granted administrative autonomy to communities. It also reorganized the administrative structure of the ordinary and the strategic villages. The latter have not yet been accorded legal status but are run by a village administrative council, elected with universal suffrage by the villagers and responsible for economic and social development in accordance with the precepts

/of: respect

of: respect for the individual (nhan vi), community development (cong dong dong tien) and democratic observance of legality (dan chu phap tri).

2. The following Secretariats of State have branches in the provinces and districts; these are called departments(ty) at the municipal and provincial level and offices (chi) at the district level).

(a) Secretariat of State for Rural Affairs:

Agricultural departments or offices

Land or fishery development departments or offices

Cooperative and agricultural credit departments or offices

(b) Ministry of National Education:

Primary and secondary education departments for inspection and direction of lycees and primary schools

(c) Ministry of Health:

Health and sanitation departments or offices

Medical supplies distribution departments or offices

(d) Secretariat of State for Municipal Affairs:

Information departments or offices

Youth departments or offices

Welfare departments or offices

(e) Secretariat of State for National Economy:

Economic affairs departments or offices

/Reconstruction

Reconstruction and urban development departments or offices.

All the departments give technical, financial or staff assistance to local communities. As already mentioned, the chiefs of these departments are appointed by the Secretary of State concerned and take their orders from him in technical matters. In political and administrative matters, however, they are under the authority of the chief of the province. The chiefs of the technical departments communicate with the Secretary of State concerned through the chiefs of provinces. The latter can summon the chiefs of departments to conferences to discuss matters of common interest.

3. The main problems facing local authorities relate to "security, under-development and the separatist tendency". These must be solved at the level of the village, which is regarded as the basic social unit of the Republic of Vietnam. The central Government has therefore concentrated its efforts since 1961 on the administrative, economic and social reorganization of the villages and especially on the establishment of strategic villages.

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Country Paper: The Philippines

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CENTRAL SERVICES TO LOCAL AUTHORITIES  
IN THE PHILIPPINES

Basic Data

1. Factors of history and human geography affecting the pattern of decentralization.

The Philippines is an archipelago comprising of 7,100 islands and islets. It extends for more than 1,200 miles from north to south and from east to west at the widest point for nearly 700 miles. The total land area is 114,830 square miles and the coastline is 10,850 miles. The Philippines is geographically divided into three main groups of islands known as Luzon in the northern group, Visayas in the central group and Mindanao in the southern group. Most of the large islands have irregular coastlines, rugged mountain ranges, narrow coastal valleys, and large lowlands and valleys in the interior.

As of February 15, 1960, the population of the Philippines was counted at 27,087,685. Luzon registered a total population of 15,929,700 or 51.5 per cent; the Visayan region accounted for 7,773,731 or 28.7 per cent; while Mindanao reported 5,584,164 or 19.9 per cent.

The literacy rate trends in the Philippines are on the increase: from 48.8 per cent in 1939 to 59.8 per cent in 1948 and then to 72 per cent in 1960.

/The influence

The influence of both Eastern and Western civilizations are strongly felt in Philippines. Long before the Europeans learned of the Philippines, the Filipinos were already having contact with the two great and important Malayan empires known as the Shri-Vishaya in Sumatra and Madjapahit in Java. There was also a flourishing trade with China. Thus, the civilizations of China and India greatly influenced the lives of the early Filipinos.

Upon the arrival of the Spaniards in 1521, the Philippine Archipelago was composed of villages called "barangays". Generally speaking, these barangays were independent of each other. Each barangay was ruled by a chief or king popularly known as "datu". He was its law-giver, chief judge, chief executive and military head. In the performance of his duties, however, he was assisted by a council of elders which served as his adviser.

The imposition of the Spanish colonial administration in the country destroyed the self-sufficiency of native communities and their political life was centralized in a single national administration. Sovereignty ultimately resided in the King of Spain who exercises this sovereignty through his councils in Spain and other officials. But the powers of government were actually exercised by the Governor General who

/resided in



resided in Manila. For purposes of local government, the whole country was divided into provinces, cities and municipalities. The Spanish regime continued for over three hundred years and was terminated in 1898 when, by the Treaty of Paris, the Philippines was ceded by Spain to the United States.

The United States introduced in the Philippines the concept of local autonomy. However, local self-government as envisaged by the Americans was not realized. The American regime in the Philippines which lasted for more than forty years was characterized by greater participation of Filipinos in the management of the local and central governments. With the increase of the participation of the Filipinos in the management of the central government, there had been a noticeable decrease of the independence granted to the local governments.

## 2. General description of internal communications.

In the past, lack of adequate transportation by water from island to island made it difficult to spread new ideas and information and for the people to unite on national problems. Even travel by land on various islands was hard because of poor roads and bridges. At present, however, transportation and communication between and within the important islands of the archipelago is rapid and easy due to the improvement

/of inter-island

or inter-island travel, the building of new railways, roads, bridges and airports. A vast network of communication system by telephone and radio has been established in the country. In 1962, there were 4,111 radio stations, 122 broadcasting stations and 6 television stations operating in the country.

### 3. Broad pattern of central government.

The Government of the Philippines is republican in form and is founded on democratic principles. It is divided into three main departments - the executive, legislative and judicial.

#### (1) The Executive

The Philippine political system features the presidential type of government. The executive power is vested in the President of the Philippines. He is elected by the qualified voters of the country, holds office for a term of four years and is eligible to one reelection. He exercises control over all departments, bureaus and offices under the executive branch of the government, exercises general supervision over local governments, and sees to it that all laws are faithfully executed.

The qualifications required by the Constitution for election to the Presidency are (a) a natural-born citizen;

/(b) a qualified

(b) a qualified voter; (c) forty years of age or over; and  
(d) residence in the Philippines for at least 10 years immediately preceding the election.

Constitutional provisions as well as practice have made the President the central power in the administrative system. He is the Commander-in-Chief of the armed forces. As such, he could call out such units of the armed forces as may be needed to quell, prevent, or suppress any lawless violence, invasion, insurrection or rebellion. When public safety so requires, he may suspend the writ of habeas corpus and may place any part of the country under martial law. With the consent of the Commission on Appointments of Congress, the President appoints all heads of departments. He can grant pardons, reprieves, and commutation of sentences of all offenses except in cases of impeachment. The Constitution also invest him with the power to grant amnesty with the concurrence of the Congress. He can conclude treaties with foreign countries, subject to ratification by the Senate of the Philippines. The President does not exercise an unbridled power, however. He is subject to checks and balances, a significant feature of the tripartite division of governmental powers. Among the principal checks Congress wields on executive authority are (1) the power to create and abolish executive agencies and to

/define their

define their relationships with one another, and, to some extent, with the President himself; (2) the power to appropriate, on a yearly basis, funds for their operation; (3) the authority to give consent, through the Commission on Appointments, to all major executive appointments; and (4) the power to impeach the President for causes specified in the Constitution. Moreover, Congress may also investigate executive action to ascertain the possibility of putting up remedial legislative measures. The Courts check on both executive and legislative actions primarily through interpretation of the Constitution and the laws.

Presently, there are 11 major executive departments; Foreign Affairs; Finance; Justice; Agriculture and Natural Resources, Public Works and Communications; Education; Labor; National Defense; Health; Commerce and Industry; and General Services. Broadly, their functions are:

(a) Department of Foreign Affairs - Coordination and execution of the foreign policies of the Philippines and the conduct of its foreign relations with friendly states and international organizations of which the Philippines is a member; conduct of diplomatic relations with other states and international organizations; negotiation of treaties, conventions and agreements designed to serve the national

/interest;

interest; administration abroad of citizenship, immigration and navigation laws of the Philippines; protection of the rights and interests of Filipino citizens and juridical persons abroad.

(b) Department of Finance - General Supervision over the financial affairs and financial agencies of provincial, city and municipal governments; initiation, study, formulation and administration of tax and other fiscal policies and fiscal legislation suited to the economy of the country and financial needs of the government; public borrowing on the credit of the government; management of the public debt and collaboration, at the technical level, in the revision of the annual development financing plans of the government; supervision over the collection of national and local revenues.

(c) Department of Justice - Administration of justice; investigation and determination of violations of the Constitution and laws of the land; apprehension, prosecution and confinement of criminals; legal advice to the Government and its entities, enforcement and administration of the immigration and alien registration law, etc.

(d) Agriculture and Natural Resources - Increased production of agricultural crops by improving the productive efficiency of the factors of production - land, labor and capital; the conservation of natural resources, as well as the improvement of rural communities; helping implement the policy of

/"land for

"land for the landless"; development and proper use of natural resources; insuring national self-sufficiency thru crop and livestock production with the view also of improving the export trade.

(e) Public Works and Communications - Construction, repair, improvement and maintenance of general public works in the Philippines; enforcement of traffic laws and the Motor Vehicle Law; control and supervision of subsidized trips of the steamship to various points in the Philippines; maintenance and regulation of communication facilities, etc.

(f) Department of Education - Formulation and implementation of general educational objectives and policies, and coordination of the activities and functions of all educational institutions in the country; selection and approval of textbooks for use in public schools; review of textbooks used in the private schools; identification, appropriate marking and preservation of historical places and antiquities abounding in the Philippines; general administration; supervision and control over all bureaus and offices under the Department of Education; and supervision and implementation of the teaching of the Spanish language in the public and private schools.

(g) Department of Labor - Promotion and organization of the labor education program, including legal services, and participation in world labor conference as may be authorized;

/development,

development, maintenance and enforcement of apprenticeship standards and program, including extension of technical services to employees and employers; workmen's compensation and safety laws in all establishments throughout the country; promotion of the welfare of employed women and children; establishment and maintenance of statistical reporting system on basic labor information; manpower development and utilization to provide skilled workers for various industrial projects; promotion and maintenance of industrial peace, including policy guidance, consultation and labor counseling and supervisory services relating to the conciliation of labor disputes, etc.

(h) Department of National Defense - Promotion of peace and order; enforcement of laws and regulations; maintenance of a program for national defense, protection from outside and inside subversion; planning and conduct of psychological warfare against subversive and dissident elements; resettlement and rehabilitation of veterans and surrendered dissidents.

(i) Department of Health - Promotion, protection and preservation of the health of the people; conduct and extension of public health, preventive, curative and rehabilitative programs, health and medical services; personnel training and public health education.

/(j) Department



(j) Department of Commerce and Industry - Formulation, determination and implementation of policies relative to commerce and industry; administrative adjudication in connection with the regulation and control of trade and industry; development of Philippine Trade and industry within the framework of a national policy designed to improve and stabilize the national economy.

(k) Department of General Services - Assigning, regulating or performing for government entities, the functions pertaining to procurement and supply, maintenance and custody of real property, utilization of excess property, disposal of surplus property, promotion of sound records management, printing and other production services and such other appropriate functions.

(2) The Legislative

The legislative power is vested in a bicameral Congress composed of the Senate (Upper House) and the House of Representatives. The Senate is composed of twenty four members elected at large by qualified voters of the country. Senators hold office for a term of six years on a staggered basis and are eligible to an unlimited number of reelections.

The House of Representatives is composed of one hundred four members (the Constitution allows a maximum of 120 members)

/apportioned

apportioned among the provinces on the basis of population. Under this arrangement, heavily populated provinces may have as many as six or seven representatives. However, each province, no matter how sparsely populated, is entitled to at least one representative.

The Congress convenes in regular session once a year on the fourth Monday of January. Special sessions may be called by the President to consider general legislation or such subjects as he may designate. Special sessions are limited to not more than thirty days. Regular sessions may not exceed the prescribed one hundred days, exclusive of Sundays.

Each of the two Houses of Congress elects its own officers. The President of the Senate is the chief officer of the Upper House; the Speaker, of the Lower House. Twelve senators and twelve representatives constitute the Congress' Commission of Appointments. The President of the Senate is the Chairman ex-officio of this Commission.

Members of both chambers are, except in cases of treason, breaches of the peace or felony, exempt from arrest during their attendance at the sessions of the Congress, and in going to and returning from the same. They may not be questioned in any other place for any speech they deliver in the hall of the Congress.

/The Congress

The Congress has the sole power to make or amend laws. Appropriation bills, revenue or tariff bills, bills of local application, private bills, and bills authorizing the increase of public debts originate exclusively in the House of Representatives. The Senate, however, may concur in the adoption of these bills or propose suitable amendments.

A bill passed by the Congress cannot become a law unless the President signs it. A bill vetoed by the President may become a law if it is passed over the President's veto by two-thirds vote of all the members of each chamber.

Under the Constitution, the Congress has the sole power to declare war. Congress can also authorize the President, in case of national emergency or war, to issue executive orders embodying rules and regulations intended to carry out the national policy.

### (3) The Judiciary

The judicial power is vested in the Supreme Court and in lesser courts established by law. The Supreme Court is composed of a Chief Justice and ten Associate Justices appointed by the President with the consent of the Commission on Appointments. The apportionment of the jurisdiction of the various courts is vested in the Congress. However, the Congress cannot deprive the Supreme Court of its original

/jurisdiction

jurisdiction over cases affecting ambassadors, ministers, and consuls; nor can the Congress deprive the Supreme Court of its jurisdiction to review, revise, modify, or affirm on appeal the final judgment and decrees of inferior courts in cases involving the validity or constitutionality of any law, ordinance, executive order, or treaty; cases involving crimes with the penalty of life imprisonment or death, and cases involving the legality of any impost, tax or assessment.

All justices of the Supreme Court and the Court of Appeals, as well as judges of inferior courts, hold office during good behavior until they reach the age of seventy or become incapacitated to discharge the duties of their office.

#### 4. Broad Pattern of Local Governments

The Philippines is divided into four major units of local governments, namely: provinces, cities, municipalities and barrios. In addition, there are special local units known as sub-provinces and municipal districts which are provided for areas where the constituents "have not progressed in civilization" sufficiently and where non-Christian settlements are so small or remote to come directly under any of the regular units. Each province is subdivided into municipalities, and each municipality is further subdivided into barrios. Cities are created out of a municipality or municipalities which are

/highly developed

highly developed and urbanized. As of July, 1963, there were 56 provinces, 41 cities (including Canlaon and Angeles which are not yet formally organized), 1,326 municipalities, 49 municipal districts, 4 sub-provinces and approximately 28,700 barrios.

The provinces are actually administrative subdivisions of the national government and perform such functions as are conferred upon them by law. The province has little autonomy. All heads of local departments are responsible to their national offices, while all administrative actions of the governor are appealable to central agencies.

\*K Municipal governments are under the provinces in which they are located. Barrio governments fall under either the municipal or city government or special municipal district government, depending on where they are situated. Sub-provinces are attached to the regular provinces nearest or in which they are found.

The municipality comprises both rural and semi-urban areas. It is a corporate body having very limited authority.

The barrios are the basic administrative units of local government. Barrio governments administer and direct the affairs of their communities and assist the municipal or city councilor in the performance of his duties in the barrio.

/On the

On the political, policy making level, local governments are divided into executive and legislative branches, though such division is not very clear in the case of the provincial and barrio governments.

The chief officials of the local governments are:

(a) provinces - governor, vice-governor, two (or three) members of the board; (b) cities - mayor, vice-mayor, councilors (whose number depends on specific charter provisions); (c) municipalities - mayor, vice-mayor, councilors (number depends on class); (d) municipal districts - mayor, vice-mayor, councilors (number depends upon class); and (e) barrios - barrio captain and six barrio councilman (all constituting the barrio council). The sub-province is headed by a lieutenant governor who is a member of the provincial board of the province to which the sub-province is attached.

All chief executives and "legislators" of local governments, except in some cities, are popularly elected. The term of office for elective officials is four years.

Local councils may make their own rules of procedure for the conduct of sessions, provided that such rules are not inconsistent with the Constitution or any statute of the state. Certain provisions of law, nevertheless regulate local council sessions.

A provincial board is to hold regular weekly meetings

/on a day

on a day to be fixed by the board; special meetings may be called by the provincial governor for any day. Such meetings are to be open to the public, but the board may order exclusion of the public when an appointment or the conduct of an individual is being discussed. The presence of three members constitute a quorum.

The city charters also provide for legislative procedure requirements. City councils usually have ordinary and extraordinary sessions which are open to the public unless ordered otherwise by vote of a specified number of councilors (usually a majority).

Municipal Councils are explicitly empowered to determine their own rules of procedure, provided that regular meetings are held once in every two weeks and special meetings, not to exceed twenty-four a year, may be held whenever it is necessary.

Barrio councils are to meet regularly once a month at the call of the barrio captain. Special meetings may also be called by him and by any three members of the council at any time. A majority of the members constitute a quorum.

- (1) Is there a central ministry or department responsible for general control, support, and or development of local government?

/There is no



There is no central government agency responsible for local administration or whose major function is to provide technical and other assistance to local government units. The government, however, is characterized by a high degree of centralization. This renders the local governments dependent upon the various national agencies for technical and other assistance. The Local Governments and Civil Affairs Office, directly under the Office of the President of the Philippines, assumes the burden of attending to requests for technical and other forms of aid from any province, city, municipality, or barrio (village). Requests received by the Office are endorsed to the national agency concerned, for appropriate action. The said Office also issues Provincial Circulars which contain policies of the national government affecting local administration. It also receives the annual reports of the local units.

5. Pattern of field organization and relationship of field units to local authorities.

The Central government has initiated a decentralization program to afford the local governments with the services of the different departments of the Central government for their progress. This decentralization scheme is done

/by a system

by a system of creating their regional branches all over the country. The Department of Agriculture and Natural Resources, thru the Bureau of Lands, Bureau of Forestry and the Bureau of Plant Industry; the Department of Health; the Department of Labor; the Bureau of Internal Revenue; the Civil Service Commission; the Bureau of Soil Conservation; and the Fisheries Commission, have already extended their services to rural people through their regional offices.

The field organization of national agencies however tend to by-pass the local governments and cater directly to the people.

#### Present Local Government Services

Practically all governmental services obtaining among local authorities are discharged by them in their capacity as agents of the national government. Although some services may be paid partly out of local funds, the officers in charge of the services are extensions of the national agencies concerned. Only fire prevention, garbage collection and the maintenance of public markets may be said to be purely operating under the orders of local authorities.

#### Central Services provided to or supporting local authorities

1. Personnel Services - Personnel management in the Philippine Government is the primary responsibility of the Civil

/service

Service Commission. It shares this function with the Budget Commission, the Wage and Position Classification Office, and various departments, bureaus, and offices of the National Government. Seminars, conferences, and training courses exclusively for local officials have been sponsored from time to time by the Presidential Assistant on Community Development and the Management Service of the Budget Commission on management improvement. The Institute of Public Administration and the Civil Service Commission conduct training programs for personnel and training officers, respectively, of both the national and local government units.

The Government Service Insurance System administers retirement and insurance benefits to all appointed officials of provinces, cities, first-class municipalities, and other municipalities who elect to join the system.

2. Financial Services - The Government Service and Insurance System (GSIS) and the Development Bank of the Philippines (DBP), (both are national agencies), grant loans to local units for their major projects.

The Office of the Presidential Assistant on Community Development has initiated the system of grants-in-aid, whereby local government may borrow from the national government (in cash or kind) as long as they can set up an amount equal to the loan. The Philippine National Bank accepts .

/deposits from

deposits from local governments with interest granted to the latter. Deposits are rare since local units hardly have any budget surplus.

3. Budgeting and Auditing Services - The central government does not assist in the preparation of budgets, either operating or capital. Through the Department of Finance, however, it reviews budgets of the provincial and city governments. Municipal budgets are reviewed by the provincial treasurers. The General Auditing Office (GAO) provides auditing services to local units through its representatives, the provincial auditors who take charge of both provincial and municipal accounts, and the City Auditors who take charge of cities.

4. Purchasing Services - The central purchasing and procurement agency of the government is the Bureau of Supply Coordination under the Department of General Services. It takes charge of all requisitions or purchases of supplies of national and local units. Local Governments, however, may direct purchases under certain limitations.

5. Planning Services - Local units may consult the National Planning Commission on activities involving the preparation and adoption of town plans, zoning and subdivision regulations, exchange of public lands with private lands affected by public improvements, organization of local planning boards,

/and drafting

and drafting of building codes.

6. Legal Services - Provinces, municipalities and cities are aided in the interpretations of local laws and ordinances by opinions or advices from the Office of the Provincial Fiscal, Department of Justice. The Provincial Fiscal aids the municipalities within the province he is assigned in the proper application of the laws to be followed in the enactment of ordinances.

7. Public Works Services -

(1) Construction and Maintenance of Roads and Bridges - The function of providing an adequate and safe means of travel and transport for the public and the promotion and improvement of the road building program falls on the Bureau of Public Highways, Department of Public Works and Communications. Local units undertaking the construction or improvement of their roads and other public works may seek the technical assistance of this Bureau.

(2) Construction of Public Buildings - Public buildings are constructed with funds from the regular national appropriations and "pork barrel" allocations. The Bureau of Public Works provides supervision and control.

(3) Construction and Maintenance of Water and Power Supply - Consolidation and centralization of all waterworks, sewerage and drainage systems of the country is incumbent

/upon the

upon the National Waterworks of Sewerage Authority (Nawasa). The National Power Corporation is the national agency charged with the development and tapping of the country's natural power sources. Power supply for the local units is regulated by the Public Service Commission.

8. Public Safety Services - The Philippine Constabulary (P.C.) functions as the national police force. It is organized along military lines. The P.C. units are stationed in every province and supervise and furnish technical aid to local police forces. The P.C. may take direct hand if the local police force cannot cope with the peace and order situation. The National Bureau of Investigation furnishes technical aid in the detection and investigation of crimes, upon its own initiative or upon the request of local police units.

The Motor Vehicles Office, the Traffic Control group of the Philippine Constabulary (Trafcon) and agents of the Department of Public Works and Communication and the Public Service Commission are among the national enforcement agencies engaged in traffic control and regulations. These services are free and mandatory.

The control of floods is lodged in the flood control and drainage unit of the Department of Public Works and Communications. It has undertaken several projects aimed at

/the prevention

the prevention of destruction of lives and property by floods. The Weather Bureau issues warning on volcanic eruptions and earthquakes.

9. Health and Welfare Services - Health is a national government function and its undertaking devolves upon the Department of Health and its units. The Bureau of Health Services has the duty of providing such services to the people in the local communities. Its Rural Health Units (RHU's) composed of teams of doctors, nurses, midwives and sanitary inspectors, administer first aid, maternity services and preventive medical cares to the rural people and awaken them to a sanitary way of living. The Bureau of Hospital Services administers hospitals all over the islands. They are financed partly with national funds and partly with local funds.

10. Educational Services - The National government is constitutionally committed to establish and maintain public schools for the education of the people. The Constitution requires a free primary education. The national government now provides the entire elementary schooling (except in some cities which take care of grades V-VI). High schools are financed largely from tuition fees and appropriations from the school fund. The Division of Adult Education, Bureau of Public Schools, undertakes an adult educational program geared /towards



towards basic literary training, health and sanitation, duties and obligations of citizenship and improvement of home environments. Direct services to local units take the form of technical advice and assistance in adult educational activities. Services to local units are free and compulsory.

Vocational training and promotion programs along the fields of industry, agriculture, fisheries and other arts and trades are supervised and maintained by the central government through the Bureau of Public Schools (Department of Education) and the Department of Agriculture and Natural Resources. Community schools are operated by the Bureau of Public Schools and are geared towards, not only the traditional 3 R's but also community education, organization and improvement. These schools are complements to the adult literacy program of the same Bureau and are valuable in the task of social reconstruction and in general catering to the needs of the people in the communities.

#### General

The administration has enunciated a policy of granting more autonomy to the local governments. However, the implementation of this policy is rather slow. This is understandable because of the traditionally centralized form of government in the country. Local governments and their

/constituents

constituents have placed heavy reliance on national direct services and on national financial support. The current trend is toward the expansion of central services to local units simultaneous with a decrease of direct services from the national government to the people. The passage however of recent autonomy laws has not effected a fundamental change in the relationship between the national and local authorities. A high degree of supervision is still exercised by the central government over local authorities.

1. Main Problems of Local Authorities

(1) Financial - Local units do not have any real control over the raising and spending of local revenues. From forty to seventy percent of local revenues are in the form of national tax allotments or grants. Locally raised revenues comes from minor taxes, fees and locally operated authorities. There is therefore an urgent need for reforms in the distribution of financial sources to the various levels of local government.

(2) Coordination in the administration of local functions - No one local official has authority to co-ordinate programs in a particular area. Officials directly in charge of local functions are under the supervision of national agencies and

/receive



CENTRAL SERVICES TO LOCAL AUTHORITIES  
IN KOREA

...

I. Factors of history and human geography affecting the pattern of decentralisation:

a. Historical factors:

The peculiar forms of the local administrative system had been improved by about the year of 1900 in Korea. One of the peculiar ones is that then administrative districts were demarcated, it is usual these days to demarcate the boundaries of local counties according to natural features, population, economical condition and administrative advantage, but in those days they did not do it like that - they demarcated the boundaries of local counties according to some exceptional standards. For instance, when a meritorious leader or a filial man was produced in a county, the county was upgraded to sub-province (Tohoboo), and a rebel or an insurgent was produced in a county (Koon), the county was degraded to sub-county (Hyon). The county or sub-county had several towns as field organisations, and the field organisations were retrained by a local self-governing system.

The chief of the town was formally appointed by a county commissioner, but actually the chief of the town was elected in democratic ways as follows:

/ a. Only

- a. Only a nobleman could be a chief of the town and a chief was elected by only noblemen, or
- b. Only a nobleman in a town was elected by noblemen and the common people by mutual consent, or
- c. First of all, leaders of the villages selected a few candidates who lived in the town, and the candidates were voted upon by the village people by checking a ballot. The candidate who received a majority of the votes became the chief of the town.
- b. Other factors:

As above mentioned, the systems have been changed since 1900. After that they were influenced by Chinese systems, consequently a local government like larger county (hok) and sub-county (Hyon) were unified into a county (Koon). The local governor of the county was called Keonsecc (the chief of the county). In 1930, local administrative systems were changed again. This time, when rural areas (Myon) had a population of 20,000, they were upgraded to towns (Uep). In 1948, when the democratic government was set up, a town with a population of 50,000 was upgraded to a city (Shce). Now the provincial government, Seoul Special City Government, city government, town government, township government were changed into a self-government system.

/ After

After the military revolution in 1961, the Seoul Special City Government, provincial governments and city governments remained selfgoverning bodies. Pusan Direct-controlled City Government and county governments became self-governing bodies, but the town governments and township governments were controlled by the county governments. But the names of most of the governments have not been changed since 1900.

## II. General description of internal communications:

### a. The administrative communication lines:

Teletypes have been installed for an efficient official communication between the Central Government (Ministry of Home Affairs) and City or Province. Though the communication system between province and its jurisdiction (city or county) is not to be adequate, most of its facilities are satisfactory enough from practical point of view. Administrative telephones are properly furnished between cities or county and rural areas (Uep, Myon, Dong). The police emergency telephones are established at every branch police station in the village. The public telephones are sometimes used by the administrative offices. Telegraph and postal services are available between towns.

### / b. Broadcasting

b. Broadcasting stations:

There are 16 publicly operated broadcasting stations and relay stations throughout South Korea, 9 privately operated stations and 1 TV station, government-controlled, in Seoul. (The American Forces Korea Network gives assistance here.) And many amplifiers are installed to relay those broadcasting for the administrative aim in local villages.

c. Newspaper, News Agency:

There are 7 daily newspaper offices, 2 English daily newspaper offices, 2 daily economic press offices and 5 news agencies in Seoul. There are 22 local daily newspaper offices and branches of news agencies, and 26 other weekly and monthly magazines offices. They are serving vigorously as the mediums of communication.

III. Broad Pattern of Central and Federal State Government:

The Republic of Korea is adopting a local self-government system because she is a country of simple government system, not a federal government.

IV. Broad Pattern of local government:

1. For rural areas:

Now the county (Koon) is the ultimate unit of local self-government, and the town (Uep) and township (Myon) under the county managed by the chief of the county. The chief of the county / is appointed



is appointed by the provincial government, but after the transition is made into the civil government, the chief of the county will be directly elected by the local voters, and the county assembly will be the single-chamber system which consists of a representative from each town. The higher governing body is the province which is also a self-governing body.

2. For urban and metropolitan areas:

The city must have more than 50,000 in population. The mayor and the city assembly men should be directly elected by the citizens, and during the period of military control, the mayor is appointed and the city assembly is now out of function. A city is ordinarily under the province, but Pusan City which is directly controlled by the Central Government and whose population exceeds 1,200,000 in within the jurisdiction of the Central Government as in the case of province. Metropolitan city, Seoul, has a population more than 3,200,000 and covers 3,800,000 square miles. Mayor of Seoul Special City is an observer of the Cabinet and he controls the city government which includes about 7,000 officials. The city mayor and assembly men were directly elected by the citizens of Seoul until May, 1961.

3. Is there a central ministry such as a department responsible for the general control, support, and/or development of the local government?

/ The bureau

The Bureau of Local Administration under the Ministry of Home Affairs has this duty.

V. Pattern of field organization and relationship of field units to local authorities:

Field organisation for the local administration includes, Tax Offices, Postal Offices, Marine Transportation Branch Offices, Public Construction Branch Offices, Railway Transportation Branch Offices, Forestry Branch Offices, Monopoly Branch Offices, Veteran Administration Branch Offices, Agricultural products Inspection Branch Offices. The relationship of field units to local authorities - e.g. counties (Koon) and cities - is to be coordinated at conference of the local chief authorities in each regional area.

STATE OF LOCAL GOVERNMENT'S ACTIVITIES

VI. What services are now wholly operating under the orders of local authorities for?

1. General administration, e.g. planning, tax collection, etc.

The provincial governing bodies control the general administration of the cities and counties. The city governing bodies control the general administration of subdivisions. And the county governing bodies control the general administration of their towns and rural areas. As to education, the chiefs of education in the province, county and city are responsible for educational administration. In the future a self-governing system will be established.

/ Major

Major policies are to be carried out by giving written directions and orders, or by telephones or other oral means. The results of the work carried out are issued in reports and tables of statistics. Local taxes are directly collected at city, town, and township levels. And according to the items of tax, a discount of 10% is granted in case of undelayed payment of one's own accord, while an additional 10% of the amount levied is to be further levied in case of delay.

2. Specialized Services, e.g. public health, education, public works, welfare, etc.:

Public health services are handled by Public Health Clinics in cooperation with the police. As to education, the chiefs of education in the province, county and city are responsible for educational administration. In the future, a self-governing system will be established. Other public works are carried out by the Industry Sections and the Construction Sections of the city and county with the assistance of the Public Construction Branch Offices. They are under the direction of provinces. Welfare services are put into effect extensively at county and city levels following provincial directions.

#### CENTRAL SERVICES PROVIDED TO OR SUPPORTING LOCAL AUTHORITIES

VII. Organization and function of services, such as the following (which may be added to, as appropriate)

/ 1. Central

1. Central organisation and Methods Office and any similar unit in major ministries having local field units:

Tax System, Bureau of Taxation, Ministry of Finance has charge of four Local Bureaus of Taxation and their subsidiary Tax Offices.

Planning Section, Bureau of Customs, Ministry of Finance has charge of Customs Houses.

Property Control Section, Bureau of Property Custody has charge of nine Local Bureaus of Property Custody.

Office of Planning Coordinator, Office of Monopoly, Ministry of Finance has charge of five Local Monopoly Offices.

Legal Affairs Section, Bureau of Legal Affairs, Ministry of Justice has charge of four Juvenile Reform Schools.

(Organization and Control Section, Ministry of Cabinet Administration has charge of the central government in administrative affairs).

2. Research and training institutes dealing with local government matters:

Every province has its own training institute for local government personnel.

3. The organisation or agency used to maintain standards of recruitment and to exercise general personnel management services for local government staff.

Secul Special City and every province, city and county has a civil service commission. In Special City, City and Province, Personnel Affairs Section or General Affairs Section has an exclusive responsibility on personnel affairs, and each city and county is a Home Affairs Section or General Affairs Section.

4. The extent to which a central government personnel office has jurisdiction over the whole government service and is able to foster training and cooperation among field personnel of different agencies:

Central government personnel agencies include the chief of Cabinet Administration, Personnel Affairs Committee, Claim Judging Committee, and these agencies have jurisdiction over personnel higher than the fourth-class in their employment, appointment, promotion and transfers. The Personnel Affairs Committee is an advisory agency, and consultative body. Provincial governor or chiefs of organisations and government agencies have jurisdiction over government personnel below the fourth-class in general matters, except for standards of employment, examination, and table of organisations. Personnel training is executed within the limits of budgets, teaching materials, training plans and training of instructors.

/ 5. Central

5. Central budgeting and planning agencies:

Central budgeting agency: The Bureau of Budget in Economic Planning Board is the budgeting agency. The Bureau of Composite Planning in Economic Planning Board, Office of Cabinet Administrative Coordinator, Offices of Planning Coordinator at each Ministry are the planning agencies. Seoul Special City and Pusan Direct-controlled City, and each province has an office of Planning Coordinator.

6. Loans Agencies for local authorities:

Loans to local authorities are to be granted within a certain limited amounts from the financial organisations dealing with depositary business of that self-governing body, and others are lent by ordinary banks.

7. Association of local authorities:

There are several city and county associations of special purpose, and these are feasible legally.

8. Professional and staff associations for local authority personnel:

At present, we have been given permission to organise an association for the functional profession less than the fourth class personnel only. The government is tolerant toward the right of collective bargaining, but not toward the right of dispute. Besides, there are some systems organised for welfare among the government employees, and Local Administration Association whose sole objective is to provide those employees of self-autonomous bodies with training and welfare.

/ 9. Government

9. Government or non-governmental agencies concerned with improvement of local government:

There are, in the Bureau of Local Administration, Ministry of Home Affairs, Research Committee on Local Administration, and Counselling Committee on Local Finance and Tax System, which consist of scholars, high-ranking officials and civilians who have wide range of experience over local administration.

10. Forms of financial assistance, audit, and supervision:

Local finances are so scanty that about 55% of them is supported by government subsidy. Audit and supervision are periodically performed by the Auditing Committee, the national administrator and the self-inspection of internal inspectors.

GENERAL PROBLEMS

VIII

Any general directive or promulgated government policy about development of local authorities and the decentralisation of powers and responsibilities to them or other agencies of local government, e.g. district administrations where there is no local authority:

In the area without local authority concerned with the public affairs, other neighbouring agencies usually execute a proxy. For instance, in the local town without a health clinic, a doctor is authorised by the provincial government to inoculate the civilians against smallpox.

/ IX. Relationships



IX. Relationships in general between the ministries responsible for agriculture, education, health, housing and other specialized services among local authorities:

There is a harmonious relationship between the Economic Minister and Officials Board, the Vice-minister board, the Planning Coordinators Board, the General Affairs Section Chiefs Board, and other Boards of officials in office.

X. Main problems of local authorities and priority needs for assistance and supervision:

At present, main problems of local authorities are the lack of budget personnel due to the increase of administrative volume, and as to the shortage of budget, a larger amount of government's subsidy and revenue's local delegation are demanded. As for supervision, one single unified, not multiple, supervision to local governments is also demanded.

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/ksm

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Country Paper: Indonesia

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PROVIDE OF CENTRAL SERVICES TO LOCAL AUTHORITIES  
IN INDONESIA

Basic Data 1. Factors of history and human geography affecting the  
Pattern of decentralisation

1.1. In order to understand the circumstances in Indonesia, please allow me at the outset to mention that the Republic of Indonesia, which surprised the world with the proclamation of its independence on the 17th of August 1945, is an archipelago, consisting of about 4000 islands and isles rightly called "the jewel of the South Seas", and formerly known as "The Netherlands East Indies". It covers an area as large as Europe, from Constantinopel to Scotland.

1.2. Geographically, this is the largest island group in the world. It is situated across the equator, extending for over 3,000 miles between the continents of Asia and Australia. There is, therefore no winter, no spring, no autumn, only a wet and dry season. The islands are largely volcanic, and high mountain chains, plus small land areas between large stretches of sea in the monsoonal belt, ensure a very livable climate, a deep, fertile soil, and a wide range of productivity.

1.3. More than half of the Indonesian archipelago is made up of mountains, forest and jungles. About 1/7 consists of rivers, lakes and fish ponds. About 1/3 of the total area is arable land. This comprises 74 million acres in Java. About 3 millions consists of estates for the production of export crops such as rubber, sugar, tea, tobacco, coconuts, fibres, quinine, pepper, etc.

1.4. On the remaining arable land food is produced to feed the

1.2. Geographically, this is the largest island group/population.

population amounting to 100.000.000. people, according to the census in 1961.\*

The major food crops such as rice, maize, cassave, potatoes, sojabeanes are grown on 30 million acres throughout the country.

1.5. Petroleum occupies an important place in the mining of Indonesia. The oilwinning takes place in Java, Sumatra, Borneo, Ceram and West Irian. The well-known tin is produced in the islands of Bangka, Biliton and Singkep on the Eastern Coast of Sumatra. Bauxiet (aluminium) is found in Tandjung Pinang, nickel in South Celebes and asphalt on the island of Buton. I don't mention the existence of coal, iron, gold, etc. exploited as well as unexplored.

1.6. Within the coastline of the beautiful beaches, with its weaving coconut-trees as a welcome to the visitors you will find the cities, towns, places, villages and campongs, spread throughout the whole archipelago, where millions of people live their lives of every day. Mountain regions with their cool and brisk climate attract hundreds of holiday makers, who go there by their own cars, by bus or by train. European styled houses

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\* 64.000.000. in Java; 16.000.000. in Sumatra ( $3\frac{1}{2}$  x Java); 4.500.000. in the Indonesian part of Kalimantan (Borneo), which is  $4\frac{1}{2}$  times Java; 8.000.000. in Sulawesi (Celebes),  $1\frac{1}{4}$  times Java; 800.000. in the Moluccas and the Halmaheras, 6.000.000. in the Lesser Sunda islands comprising Bali, Lombok, Sumba, Sumbawa; Flores and the Indonesian part of Timor; 700.000. in Irian Barat (West Irian),  $4\frac{1}{2}$  times Java, the part of Indonesia which has been just given back by the Dutch Government to Indonesia.

/are more

are more and more seen, mostly in the cities and the mountain regions. House of worship are not forgotten, where there is absolute freedom of religion in Indonesia.

1.7. At the same time, skymasters and oceanliners cleave the azure of the Indonesian skies and waters. They come from all parts of the world, bringing fabrics, machines and everything else needed by the 100.000.000 people, for the various factories, mills, industries, etc. They leave the young state with precious cargoes and raw materials for the industries of the different world centres, with their headquarter in Djakarta, the capital of Indonesia, with its 3.000.000 inhabitants.

1.8. It was spices which first brought Indonesia to the notice of Western traders, and these same spices were the reason which brought here the Portugese, the Dutch and the British. Perhaps it was also spices which brought here the earlier immigrants, the Hindus and the Mohammedans. No doubt it was the wealth of the islands in one way or another. Probably it was the fertility of the soil which led to the successful settlement by the still earlier invaders from Asia who populated the islands with the present stock.

1.9. Successive invasions down the centuries, the agricultural pursuits of large numbers of the people, and the seas which seporate one island from another, have produced many different physical types, a number of languages and a greater number of dialects, and a great variation of

/custom, dress,

costs, dress, and folk-lore in different localities. But every wise man knows that diversities serve to complement one another, and so the idea of a common nationality is nothing new in Indonesia.

1.10. In accordance with this idea, the Indonesian State is a Unitary Republic, where the people uphold the five principles of the State, which are incorporated in the Preamble to the Constitution, called the Pantjasila, and stated as: Belief in God, Humanism, Nationalism, (Guided) Democracy, Social Justice. In the range of the committee of nations, Indonesia is the sixtieth member of the United Nations Organisation.

## 2. General description of internal communications.

2.1. Several parts of the archipelago are connected by sea-transport, formerly by foreign shipping companies, but in the last five years mainly by a state enterprise with sufficient facilities to private shipowners.

2.2. Communication by commercial aircraft has advanced rapidly since after the war. There is a regular air connection between the central government and the capitals of the 22 Provinces.

2.3. The railway system has developed especially in Java, which provides a regular communication between the capitals of the 80 Countries and 20 Municipalities. Besides Java, railway communication is exploited in the Province of South Sumatra, West Sumatra, North Sumatra and Atjeh to a length of 6600 k.m. totally, included Java.

2.4. Communication by telephone, telegraph, radio is maintained  
/for interinsular

for interinsular relations. In the last year communication is expanded with television, for the time being in the Capital of the State and in the Province of West Java.

3. Broad pattern of central government and federal state governments.

3.1. Indonesia is a Unitary Republic. In accordance with the constitution, the whole country is divided in big and small territories, governed by autonomous bodies, namely:

22 Provinces as the first level,

209 Counties (rural districts), including 49 Municipalities (urban districts), as the second level.

The third level is still in preparation.

3.2. The territories of those autonomous bodies are also functioning as the administrative area of the Central government. Thus there are three different kinds of services, namely:

national services by the Central Government,

regional services by the Provinces,

local services by the Counties and Municipalities.

3.3. Within the Counties and Municipalities are constituted the smaller units, i.e. the local bodies on the third level which are in preparation, while the lowest level comprises about 50,000 villages. These ancient villages are autonomous bodies, which will be modernized and developed.

4. Broad pattern of local government.

/Local government



4.1. Local government as explained above consists in reality of:  
22 Provinces as the first level (Daerah Tingkat I), each of it comprising a number of local bodies at lower level, 209 Counties (Daerah Tingkat II) and 47 Municipalities (Kotapradja) at the second level.

4.2. With regard to its structure and nature, the local government law stipulates the following main principles:

- (a) a local body is a public corporation created by law, which unites people and land within prescribed boundary for the purpose of acting as a unit of local government for the satisfaction of local needs on its level,
- (b) the central government transferred certain duties to the local government, which in its nature are local government duties,
- (c) a local body can be performed some central government duties as defined by the regulations relative to the subject.

4.3. In carrying out its responsibilities local government could raise money by:

- (a) levying tax and retribution,
- (b) exploiting undertakings,
- (c) from subsidies, grants and aids given by the

/central

central government,

- (d) from other income from the central government, based on special regulation of financial relationship.

4.4. The central government, being in a superior position as the creator of the local corporations and as the guardian of public rights, has the power of controlling all the activities of the local bodies, both at the first and the second level. This supervision is performed by the power:

- (a) to sanction local ordinances,
- (b) to sanction the local yearly estimates of expenditure and revenue,
- (c) to sanction the local yearly account of expenditure and revenue.

4.5. With regard to the local bodies at the second level, except the power sanctioning tax ordinances, the power of supervising is exercised by the executive body of the local government at the first level on behalf of the central government. This does not mean that i.e. the Province has dominating or superior power over the Counties and Municipalities. The supervisory power as mentioned is delegated to the executive body at the first local level in consideration of effectiveness, because of the impossibility of the central government to look straight after so many local governments.

4.6. The principles mentioned above are applicable to all kinds of local governments, rural as well as urban areas. Djakarta, the capital of

/Indonesia,

Indonesia, with its 3.000.000 population, in its metropolitan area, is an exception to the rule. According to the regulation in 1962, Djakarta is controled directly by the Prime Minister.

4.7. The general control, support and/or development of local government is the responsibility of the "Ministry of Internal Affairs and Local Government".

5. Pattern of field organisation and relationship of field units to local authorities.

5.1. As has been stated sub 3.2., in reality there are three kinds of governing bodies, exercising national, regional and local duties; the field organisation is again and again a combination of three different apparatus, each with its own level and authority. Thus in each Province and each County there is a double or triple-deck structure.

5.2. With regard to the national level it is important to mention the authority and responsibility of the Central Government upon the territory and the people, the foundation of general administration, which is exercised in the:

- (a) Province (the administrative territory at the first stage) by the Governor (Gubernur Kepala Daerah),
- (b) County or Regency (the administrative territory at the second stage) by the Regent (Bupati Kepala Daerah) and in the Municipality by the Mayor (Walikota Kepala Daerah).

5.3. The Governor, the Regent and the Mayor are the representatives of the Central Government and are with respect to general state  
/matters

matters responsible to the President, who is also Prime Minister.

Regarding to the technical administrative matters the Governor, respectively the Regent and the Mayor, who are the territorial manager and consequently head of the people, are subordinated to the Minister of Internal (Home) Affairs and Local Government.

5.4. The basic tasks of these representatives of the Central Government are:

- (a) to maintain law and order,
- (b) to supervise the field activities,
- (c) to coordinate the central apparatus, also with regard to the relationship between the central and the local apparatus,
- (d) to exercise duties in connection with his responsibility as the territorial manager and head of the people.

5.5. To perform these tasks, there is a civil service, spread out through out the whole country, called "Pamong Pradja". This is an ancient central administrative machinery, hierarchically consisting of

- (a) 22 Governors,
- (b) a number of Residents (in some areas),
- (c) 209 Regents and 47 Mayors,
- (d) a number of Districts-officers (in some areas),
- (e) 3.000 Sub-district-officers,
- (f) 4.7.035 Chiefs of villages.

/The whole

The whole machinery, except the functionaries in the villages, consisting of 62,000 civil servants, is maintained and financed by the Ministry of Internal Affairs and Local Government.

5.6. It must be noted, that the framework of this field\_officers is at the moment in transition, taking into consideration that the local corporations are not only responsible to some definite functions as in colonial times, but must be given the authority to be the territorial manager and the chief of the people, except the responsibilities mentioned under number 5.4., a,b, and c.

This idea is already confirmed by ordinance and is in performing the transition of those duties to the Local Corporation, at the first as well as at the second level. Thus for concerning the central general apparatus in the field-organisation.

5.7. In the framework of Local Government, namely 22 Provinces and 209 Counties + 47 Municipalities, the Governors, respectively the Regents and the Mayors, occupy the function of Local Corporation Chief in the sense that the mentioned functionaries are Chief of the executive body. They are also ex officio Chairman of the legislative body. In this way the double-deck construction in the field\_organisation is united in one hand. This construction has many advantages, taking in consideration the unpleasant experiences in past times, when the two occupations were separated.

5.8. Above mentioned functionaries are appointed by the Central Government on the recommendation of the local legislative body concerned.

/The candidate

The candidate preferred must be "the best son or daughter" of the respective area, with some experiences in governmental matters. It is not necessary that this Central representative and Local Corporation Manager possessed a governmental occupation before its appointment.

5.9. In the exercising of its two fold duty, the Governor is in some provinces assisted by a deputy Governor. Especially on the local field, concerning executive activities, there is an administrative committee consisting of three to five appointed functionaries. Their duties in committee as well as individually as functionaries with a full-time job are determined by the Governor. The same construction is in force in the second level, except the possibility to appoint a functionary as deputy of the Regent or Mayor.

5.10 The legislature is an elected body, enlarged with members appointed from functional groups, par example representatives of military, labour union, civil service association and other functional groups. The number of members depends on the total population of the respective area, with the limitation of:

(a) on the first level 35 - 75 members,

(b) on the second level 15 - 35 members.

5.11 As is mentioned sub 5.7. the Governor for example is ex officio Chairman of the legislative body. In this capacity he is assisted by a Deputy Chairman, elected by the members of the legislative body. This

/occupation is a

occupation is a full\_time job and consequently fully paid. Thus far about the structure of the local corporation, concerning the governing level.

Present Local Government Services.

6. Services now wholly operating under the orders of local authorities.

6.1. Basically the Province as the Local Corporation at the first level has the duty to fulfill the special needs of its citizen at regional level, with the authority to collect money for this purpose. This duty can be created by the Local Government itself and comprises in general services with an inter-county nature and which are not maintained by the Central Government.

6.2. Up to now the following services are determined by ordinance to be transferred by the Central Government to the Provincial Authority:

- (a) public works,
- (b) public health,
- (c) services on the field of agriculture, veterinary, fishery and forestry,
- (d) primary schools,
- (e) the supervision on road-communication,
- (f) services on the field of social and labour welfare,
- (g) small industry,
- (h) small mining and quarrying,
- (i) housing.

Most of this objects are already maintained by the Province, while the remaining is still in transition. It is the intention of the Central

/Government to



Government to transfer the central services as much as possible to the Local Corporation.

6.3. On the field of revenue, beside its power to levy tax and retribution and to exploit undertakings, by ordinance is confirmed the transfer of the following tax-sources:

- (a) tax on property,
- (b) tax on grounds, (real property tax)
- (c) tax on motor-cars,

and as a share from the Central income the Province gains:

- (d) 60% of the income-tax,
- (e) 90% of the stamp-duty,
- (f) 75% of the (business) company-tax,
- (g) 75% of the tax on property,
- (h) 50% of the import duty,
- (i) 50% of the export duty,
- (j) 10% of several exercise duties.

6.4. The Counties with its rural nature and its aspect as small provinces, are in fact charged with the duty to maintain services, which is not done by the Central as well as the Provincial government, outside the Municipalities. By ordinance is stated to transfer some duties or object by a Province to a County in its region. This is done in several areas, at the same time to collect experiences regarding to the separation of powers.

/In general

6.5. In general the Counties are maintaining:

- (a) the primary schools, which task is delegated by the Province,
- (b) hospitals and clinics,
- (c) the roads on its level, streetlightning,
- (d) markets and slaughter-houses,
- (e) services in the field of agriculture, veterinary, fishery and forestry to limit as determined by the Province concerned,
- (f) services regarding supervision on housing, building scheme, etc.

6.6. The County has also the power to levy tax and retribution and to exploit undertakings. The ordinances stated the transfer of the following tax-sources to the County:

- (a) duty on copra,
- (b) tax in connection with the maintenance of roads,
- (c) slaughter-tax and tax on restaurants.

The kind of local taxes and contributions is almost the same as mentioned hereafter for the municipalities.

6.7. Among the three kinds of types of local government, the Municipality must under the existing condition be recognized as the most complete one. A number is created in 1905 based on the decentralisation law of 1903, succeeded by other towns in 1918 and round 1950. The kind of services maintained is at least what is mentioned regarding a County,

/enlarged with

enlarged with others which are appropriate to a centre with a dense population in a more modern life.

6.8. So we can restrict ourself to the part of sources of income, consisting of the next groups:

- (a) sources transferred by the Central Government,
- (b) tax,
- (c) retribution, and
- (d) income from undertakings.

6.9. The transferred sources are:

- (a) the slaughter-tax
- (b) the tax on restaurants,
- (c) 30% of the income-tax,
- (d) 90% of the small income-tax,
- (e) 90% of the tax on wages.

The tax-sources of importance are:

- (f) the amusement tax,
- (g) the tax on advertisement,
- (h) the street-tax, levied from owners of houses along important streets,
- (i) the tax on motor vehicles,
- (j) the tax on dogs, to restrict rabies.

As retribution sources we mention:

- (k) market places,
- (l) slaughter-houses,

/bathing

- (m) bathing establishments,
- (n) hospitals and clinics,
- (o) waterworks,
- (p) grounds,
- (q) supervision on building construction.

6.10. Since 1962 by ordinance the Municipality is granted to exploit different kinds of undertakings within the limitation of its local power, except on the field of trade, for the purpose of satisfying the needs of the inhabitants and for gaining revenue. This possibility comprises <sup>government</sup> local/at all level.

Central Services  
provided to or  
supporting Local  
Authority.

7. Kind of organisation and function of services.

7.1. Central organisation and Methods Office and any similar unit in mayor ministries having local field units.

- (a) Since 1956 is installed the "Institute of Public Administration" (Lembaga Administrasi Negara), which in a few years has enlarged its activity to train personnel in the field of public administration.

In the field of local administration an attempt is made at training local personnel in finance matters.

- (b) Mentioned institution up to now does not have

/the disposal

the disposal of agencies outside the head-office in Djakarta.

7.2. Research and training institutes dealing with local government matters.

- (a) Some universities have installed a school in Social Sciences and Politics, which also comprises Public and Local Administration.
- (b) A college is maintained by the Ministry of Internal Affairs and Local Government, with a capacity of 80 candidates a year. The study lasts 3 years and is mostly still concentrated on general administration to train personnel as field officers.
- (c) For each Province is organised a training-centre, on an average of 60 candidates a year. The training lasts 1 to 1½ year. Eighteen centres are already established. The candidates are graduated from Senior High Schools. The study comprises general and local administration.

7.3. The organisation or agency used to maintain standards of recruitment and to exercise general personnel management service for local government staff.

Not yet fully established. A start is made by the assistance of the Institute of Public Administration.

/The extent

7.4. The extent to which a central government personnel office has jurisdiction over the whole government service and is able to foster training and cooperation among field personnel of different services.

(a) The Ministry of Finance, i.e. the "Office of Personnel Matters" (Kantor Urusan Pegawai) has the supervision regarding all government personnel matters.

(b) In the field of Local Administration the Ministry of Internal Affairs and Local Government, especially the Division of Local Government is in charge with this matter, with the possibility to delegate it to the Provinces in connecting with personnel matters at the second level.

7.5. Central budgeting and planning agencies.

In 1959 is installed a National Planning Board, "Dewan Perantjang Negara", which prepared planning and its budget for the National Council.

7.6. Loans agencies for local authorities.

The local authorities submitted their plan to the Ministry of Internal Affairs and Local Government to be brought forward to the Ministry of Finance for decision.

7.7. Association of Local authorities.

Not yet established.

7.8. Professional and staff association for local authority personnel.

Not yet established.

/Government or

7.9. Government or non-government agencies concerned with improvement of local government.

- (a) This is the responsibility of the Ministry of Internal Affairs and Local Government, especially the Local Government Division.

Non-government agencies are not yet established.

- (b) Each Province within its area has the same duty, according to the power given to the Governor as the executive instance, to supervise the local authorities at the second level.

7.10. Forms of the financial assistance, audit and supervision.

- (a) Financial assistance is given to the local authority, based on the local yearly estimate, in the form of:

- i) general grants according to the deficit in the budget,
- ii) compensation regarding central duties exercised by the local authority,
- iii) special grants for the performance of local duties, which incidentally must be subsidized.

(b) With regard to the general grants, attention is made to transfer central sources of income to the local bodies, beside the effort to formulate a system of subsidizing, with sufficient stimulation for the local authority to hold high the principle of autonomous power,

/n.l. to fulfil



n.l. to fulfil local duties with appropriate local sources of income.

- (c) The sum of assistance is fixed by the Ministry of Internal Affairs and Local Government in cooperation with the Ministry of Finance. It must be mentioned, that this granting system comprises all the activities or all the services, without consideration which Ministry was responsible to that service before it is transferred to the local authority.
- (d) The local annual budget at the second level must be submitted to the respective Governor for approval, while the budget at the first local level must be submitted to the Central Government, i.e. the Ministry of Internal Affairs and Local Government. This procedure gives power to the authority on higher level to verify all the local activities.
- (e) Consequently the yearly local account needs the approval of the mentioned authority at the higher level, with the exception, that the account of the Provinces are verified by the Central Auditor (Dewan Pengawas Keuangan).
- (f) With regard to the supervision, the mentioned powers indicated the dominating position of the Central Government, which is finally responsible for the whole government. The Central Government has also the authority to control  
/the local

the local activities on the spot.

#### 8. General.

Any general directive or promulgated government policy about development of local authorities and the decentralisation of powers and responsibilities to them or other agencies of local government, e.g. district administrations where there is no local authority.

8.1. The explanation above concerns in general the local authorities at the first and at the second level. According to the Local Government ordinance there must be a third level, which can be compared with the Rural Districts in England. Below that level is in existing the ancient autonomous village, which will be fully modernized.

8.2. It is the aim of the National Council to realize this form of local government and in the meantime to modernize and develop the villages to become units of the third level. This scheme, embracing a total of more and less  $256 \times 10 =$  round 2,500 new local corporations is a large undertaking, but politically important to intensify government activities for the uplift of the people in remote areas.

8.3. Beside the finance matters, important is naturally the problem of staffing, likewise the separation of power between the second and the third level. It is the intension of the Government to start this programme as soon as possible with a pilot project in each Province.

9. Relationships in general between the ministries responsible for agriculture, education, health, housing and other specialised services with

/local

local authorities.

9.1. In general, aforementioned Ministries have to do with the Province as the local authorities at the first level, to which they have transferred the performance of their functions or a part of it. Anyhow after the transfer, the relationships must be maintained, because of the responsibility of the Ministry regarding to the national policy and to the technique in the performance of the work. In fact the local authority is merely in charge with household matters, according to which it is responsible to the Ministry of Internal Affairs and Local Government.

9.2. In case the whole service is transferred, consequently the whole field organisation, in the performing of some national activities, the concerned Minister needs the consent of the local authority to connect its former apparatus. On the other side, in the case that only a part of the work is transferred, it must be necessary to divide the organisation, which may weaken the apparatus as a whole.

9.3. As is stated before, after the transfer, regarding to finance matters, the local authority has to relate the Ministry of Internal Affairs and Local Government to gain financial assistance. Consequently this Ministry is obliged to face and to tackle the different needs of the several other Ministries, about matters which are strange to it. In addition must be considered the aim of the Central Government to transfer central services as much as possible to local authorities, which may reach the number of thirty.

/In the transition

9.4. In the transition period many problems are faced relating personnel matters, namely which regards the legal status, scale of salary, nomination, dismissal, resignation and so on. Basically is worth the rule, that the transferred personnel becomes local personnel with a central legal status, while after that nominated persons become local personnel. Moreover must be taken in consideration the capacity of the local apparatus to face personnel matters to entire satisfaction.

9.5. Last but not least in every day practice is faced the problem how in general to promote the knowledge for a better comprehension of the structure of local government, its relation as is known by central officers. Lack of knowledge in this field means confusion in the transference and in the performing of local services, the way to serve the people more effectively and with more satisfaction.

10. Main problems of local authorities and priority needs for assistance and supervision.

10.1. The first problem is how in general to enlarge the knowledge needed for a better comprehension of the base, structure and goals of local government, with regards to political as well as professional administrators, both in the local and in the central field.

10.2. Secondly, how to promote local administration as a basic means of government by the establishment of special institutions with a centre in the capital of the country and agencies in each of the 22 Provinces to foster capable executives and personnel on lower levels.

/With regard to

10.3. With regard to supervision, by the central government to the activities of the local government at the first level, respectively from the first level to the second, the apparatus needs to be enlarged with fully qualified and experienced administrators.

10.4. To that purpose assistance is needed:

- (a) to promote the assistance and activities of associations,
  - (b) to establish special institutions,
  - (c) to get teachers,
  - (d) to supply the material needs,
  - (e) to send trainees abroad.
- - - - -

FOR PARTICIPANTS ONLY

CSLA/8

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THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
INDRAPRASTHA ESTATE  
RING ROAD  
NEW DELHI (INDIA)

CENTRAL SERVICES TO LOCAL AUTHORITIES  
IN JAPAN

I Basic Data

✓ (1) The Constitution of Japan and Local Autonomy

The existing Constitution of Japan was enacted in 1947. The keynote of this supreme law is democracy and as one of the pillars to support it the principle of local decentralization is firmly established therein. Speaking specifically, the Constitution sets up a chapter on local self-government, in which it provides that:

1. The organization and operations of local public bodies shall be fixed by law in accordance with the principle of local autonomy.
2. The local public bodies shall establish assemblies, and the heads of all local public bodies and the members of their assemblies shall be elected by direct popular vote within their several communities.
3. The local public bodies shall have the right to manage their property affairs and administration and to enact bye-laws.

Even under the Old Constitution, fu-ken (prefectures) and shi-cho-son (municipalities) were legally recognized

/as local

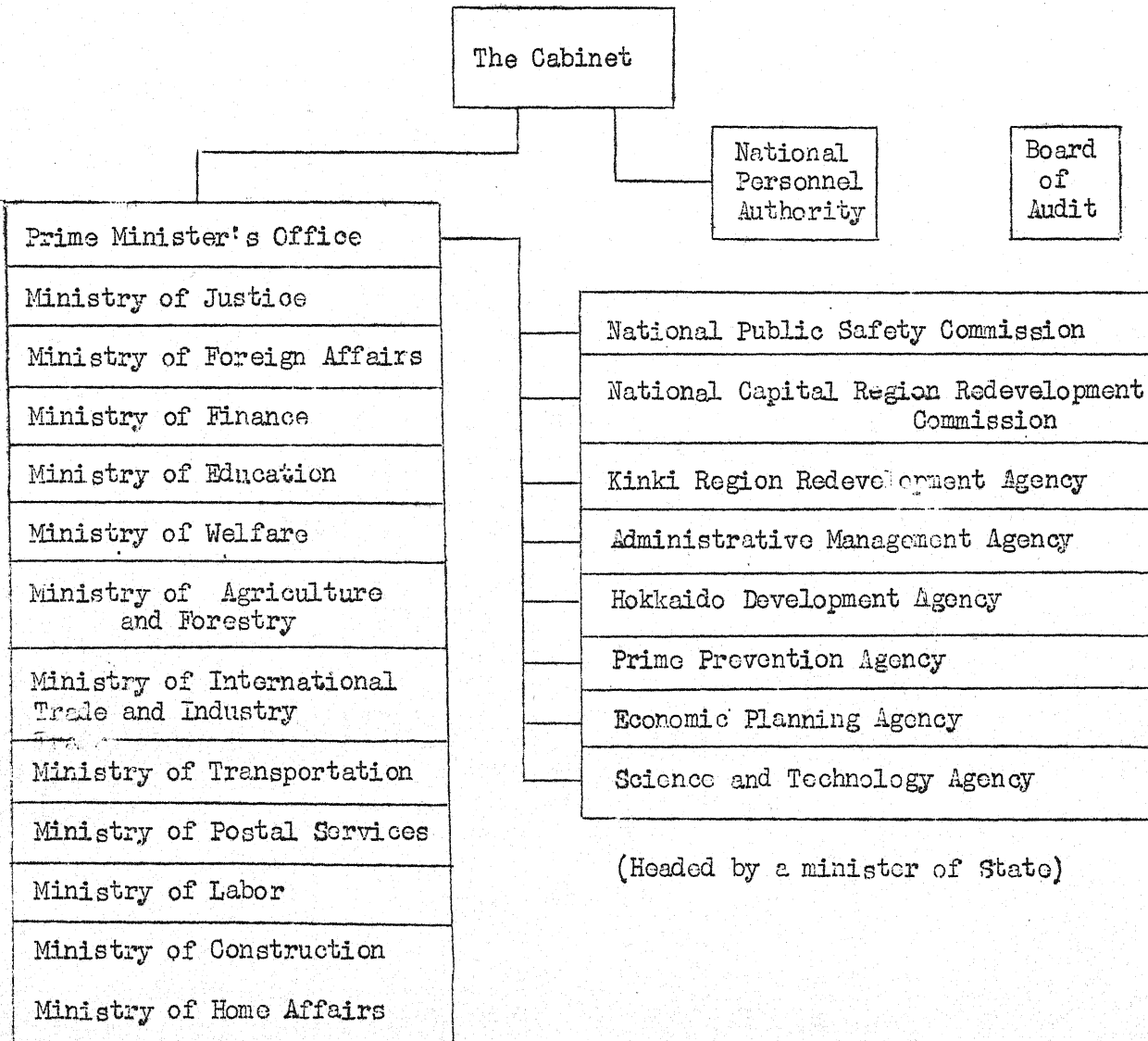


as local self-governing bodies, and administered their own affairs with a certain degree of autonomous power, but the relations between the central and local governments were not based on the principle of rendering assistance and cooperation with each other, as at present, and were rather of a nature in which these local governments were subject to the direction and supervision of the central government.

(2) The Administrative Organization of the Central Government

An outline of the administrative organization of the Central Government is shown below:-

2.A



### 3.

There are cases where a central ministry, in carrying out its affairs, conducts them by establishing local establishments of its own. Such local establishments consist of a first-class local branch office responsible to some extent for general control of affairs and a secondary local sub-branch offices smaller in scale than the former. (Please refer to Annex.I). As administration has grown more complex and tended to extend over a wider area as a result of the local establishments poses a problem from the standpoint of over-all administration.

#### (3) Local Public Bodies

With respect to local public bodies, there exists, as their basic legislation, the Local Autonomy Law enacted simultaneously with the Constitution, and this Law provides for their kinds, organization, powers, operations and other pertinent matters.

As basic local public bodies there are "to-do-fu-ken" (prefectures) and "shi-cho-son" (municipalities). "To-do-fu-ken, or local public bodies on prefectural level are larger local public bodies which include within their respective jurisdiction the units of shi(cities), cho (towns) and son (villages).

/Note:

Note: As to the character of these local public bodies, reference is invited to the material entitled "Local Government in Japan" which the Japanese government submitted to the EROPA session held in Tokyo in 1961.

In addition to the aforementioned ordinary local public bodies, there are special local public bodies, such as a special ward, association of local public bodies, property ward and development corporation. The development corporation is established jointly by several local public bodies for the purpose of carrying out projects under a program of overall development of a certain specified area, and has been authorized by the recent amendment of the Local Autonomy Law.

The ordinary local public bodies, as constituted at present, in the whole country will be found in Annex II.

## II Affairs of the Local Public Body

An ordinary local public body mainly deals with a very wide range of affairs mentioned in the following:-

1. Maintenance of local orders.
2. Control of public facilities, including parks, roads, bridges, and rivers.
3. Management of public utilities, such as water-supply and sewerage systems, gas works, and transportation services.

4. Control of marine and land transportation facilities.
5. Control of schools, laboratories, libraries, civic halls, and affairs relating to the promotion of education and culture.
6. Control of public health, sanitation and social welfare facilities such as hospitals, housing, public nurseries, homes for the aged, and garbage-disposing stations.
7. Affairs relating to public health and sanitation including cleaning, disinfection, prevention of noise and those relating to the refinement of public morals.
8. Prevention of crimes, prevention of disasters, emergency aid in case of an accident or disaster, and maintenance of trafficking safety.
9. Relief of and assistance to the poor, the sick, the physically handicapped and the like.
10. Affairs relating to labor relations, such as adjustment of labor disputes.
11. Execution of projects like afforestation and river control, city planning, and land improvement.
12. Census registration and registration of inhabitants.

### III Central Services provided to Local Authorities

#### (1) The Ministry of Home Affairs

The Ministry of Home Affairs is set up as an agency responsible for general control of the State affairs relating to local autonomy.

The affairs of the Ministry are in the main as follows:-

- a. Planning and drafting systems governing local autonomy and elections for public office, etc. and assuming responsibility for their operation and guidance.
- b. Promoting liaison and cooperation of local public bodies with one another as well as liaison between the State and local public bodies.
- c. Disposition of affairs relating to fire-defence.

The planning and drafting of systems governing the organization and operations of local public bodies is divided into various fields, such as local administrative system, local public service system, local finance system, public-operated enterprise system, and local tax system, and bureaux and sections of the Ministry of Home Affairs are respectively responsible for development of plans according to the functions they are in charge.

/Furthermore,

Furthermore, whenever an important reform with respect to the local system is to be carried out, it is customary for the matter to be carefully studied beforehand by the Local System Investigation Council, an advisory body to the Prime Minister which is composed of persons concerned with local public bodies and those of learning and experience.

(2) Training and Research Institutes of the Central Government dealing with Local Public Bodies.

a. The College of Local Autonomy

In the Ministry of Home Affairs the College of Local Autonomy is set up as institute to give advanced training to local public employees and to conduct, in addition, fundamental studies on local autonomy.

Note: As regards the College of Local Autonomy, please refer to the material entitled "The College of Local Autonomy" presented by the Japanese Government to the 1961 Tokyo Seminar.

b. The Fire-defence College and General Research Institute of Fire-defence Affairs relating to fire-defence are at present conducted with the operating unit of shi(city), cho(town) and son(village) as the center. The Fire-defence College is established in the Fire-defence Agency, the central administrative agency for fire-defence, and conducts advanced /education



8.

education and training to fire-defence personnel, etc. of cities, towns and villages. Besides, a fire-defence research institute is set up in the Fire-defence Agency.

c. The Police College, Regional Police Schools, and Scientific Police Research Institute

While it is provided that police affairs are currently to be conducted mainly by to(metropolis), do(Hokkaido) fu(Urban prefectures) and ken(rural) prefectures), the police college is established in the Police Agency, the central administrative agency for police, and a regional police school in the Regional Police Bureau, a local branch office of the Police Agency and they give executive-development training to their respective police personnel.

d. Others

In addition to the foregoing, each central ministry has a research institute on matters pertaining to the affairs under its charge, and its research results are presented in various forms to local public bodies and utilized by the latter.

(3) The Local Public Service System and the National Personnel Authority

/Except

Except for special cases like police and education administrations. A local public body enjoys complete independence in matters of personnel, and employees in general, as a rule, are to be appointed or dismissed by the head of the local public body to which they belong.

The central government may, by law, only establish basic standards for the local public service system and extend its cooperation and technical advice in accordance with such standards.

The Local Public Service Law is the basic legislation governing the local public service, and it provides for establishment in each local public body of either a personnel commission or equity commission which is to play the role of the National Personnel Authority (will be described below) in the national service.

A statute establishing basic standards for personnel administration involving national public employees is the National Public Service Law, and the National Personnel Authority, as a national agency charged with the responsibility for securing compliance with these standards, is placed under the jurisdiction of the Cabinet. Subject to the National Public

Service Law, the National Personnel Authority is empowered to develop, coordinate, integrate and order policies, standards, procedures, rules, and programs and to recommend legislative and other necessary action with respect to appointment and dismissal of national public employees, their compensation and other conditions of work. The activities that the National Personnel Authority performs in accordance with these powers do not directly make of local employees their objects, but as such activities are always taken as criteria or for purposes of reference by the personnel commission, etc. of a local public body, they have come to exert, indirectly, a vital influence on local public employees.

(4) Central Government Plans and Programmes Related to  
Local Public Bodies

(a) Local Finance Programme

Simultaneously with the compilation of its budget for each fiscal year the central government draws up a local finance programme, in which it estimates all the administrative expenditures and revenues of the local public bodies as a whole.

This programme collectively shows the central government's contemplated basic policy toward all local public bodies for the year concerned from the financial side, so the formulation of such a programme is the greatest concern of all local public bodies.

An outline of the Local Finance Programme of F.Y. 1963 will be found in Annex IV

(b ) Local Bond Programme

Whenever a local public body contemplates the issue of a long-term local bond, it is necessary, for the time being, to obtain the permission of the Minister of Home Affairs or the governor. In order to determine its basic policy for such permission, the Ministry of Home Affairs, prior to the commencement of each fiscal year, estimates the needs and fund sources of local bonds and then draws up a local bond programme. This programme, in which the amounts of issue that are expected to be permitted for their respective purposes, are given together with the information on the funds which are to be guaranteed by the central government for the flotation of local bonds, is an important material for local public bodies, especially in their investment activities.

The Local Bond Programme for F.Y. 1963 is shown in Annex V

(c) Others

The central government (the Economic Planning Agency acts as the planning agency for the central government as a whole) as well as each ministry itself establishes various long-range or single-year plans, on an over-all basis or specifically on the affairs under its charge. Most of these plans

/are

are connected with local public bodies of various levels, and require them either to make their own work programmes in order to implement the plan drawn up by the central government or the ministry concerned or expect them to execute the whole or part of the plan.

(5) Central Government Budgetary Control on Local Public Bodies.

In the compilation of their budgets, local public bodies enjoy complete independence except for one special exception. The Ministry of Finance, the central administrative agency responsible for compilation of national budgets, has no power directly over the budgets of local public bodies. However, since the revenue from the national treasury amounts to about one-half of the regular revenues of all local public bodies, it cannot be denied that the budget of each local public body is greatly influenced by the policy under which the central government has compiled its annual budget.

The special exception to local autonomy where the central government (Ministry of Home Affairs) takes part in the budget compilation of a local public body is the case when a local public body falls into serious financial difficulty and becomes a finance reconstruction body in accordance with the Law for Special Local Finance Reconstruction and Promotion.

(6) Central Organizations providing Funds for Local Bonds

(a) Government Funds

Each fiscal year, about 70 per cent of the total issued amount of local bonds is financed by government funds. Both the funds of the Funds Management Division, Ministry of Finance, and the funds of the Simple Life Insurance Division, Ministry of Postal Services, are called by the name of "Government Funds" when they become sources for funds for local bonds: the former consists of the surplus cash of the Postal Savings Account and the General Account and of several reserve funds of the central government: the latter is the accumulated reserve fund in the State-operated simple life insurance and postal annuity businesses.

(b) The Financial Corporation for Public Enterprises

Besides these government funds the Financial Corporation for Public Enterprises, established as a public corporation with national funds in 1959, supplies a large amount of low-interest and stable funds for various public enterprises managed by local public bodies.

(7) National Associations concerned with Local Public Bodies

There are three nation-wide associations organized by heads of local public bodies: National Governors Association



of City Mayors and National Association of Towns and Villages. Also, there are three nation-wide associations, the members of which are chairmen of assemblies of local public bodies: National Association of chairmen of Prefectural Assemblies, National Association of Chairmen of City Assemblies and National Association of Chairmen of Town and Village Assemblies. These organizations have an office of their own in Tokyo, and while cooperating with one another play an active part on the central political stage for the cause of local autonomy, expressing their views and intentions to the central government and investigating matters concerned with local autonomy.

(8) National Organizations of Employees of Local Public Bodies

(a) Employee Organization

Ordinary employees of local public bodies are permitted to form associations or other employee organizations within the respective jurisdiction of the local public bodies for the purpose of negotiating with proper authorities for compensation and other conditions of work. At present such employee organizations are formed in many of the local public bodies, and, as their virtually nation-wide federations, there are the All-Japan Prefectural and Municipal Worker's Union and the All-Japan Teachers' Union.



## (b) Mutual-aid Associations.

Apart from the aforementioned organization having the character of a labour union, employees of local public bodies have organized various types of mutual-aid associations for purposes of mutual-aid in accordance with the provisions of the Local Public Employees' Mutual-aid Associations Law. Some of these associations are nation-wide organizations while others are not, but even those not organized on a nation-wide basis have formed a national federation of their own.

(9) Forms of Financial Assistance of the Central Government to  
Local Public Bodies (see last page)

(a) Local Allocation Tax; (now 28.9%)

Each fiscal year a certain fixed ratio of the revenue derived from national taxes-income tax, corporation tax and Liquor tax - is allocated among local public bodies under a certain fixed formula of allocation based on the basic amount of financial demand and the basic amount of financial receipts of each local public body. Thanks to this device each local public body is enabled to secure a fund to maintain the minimum level of administration considered necessary. This fund is a completely independent source of revenue of the local public body, and differs in its character from the national treasury's subsidy and allotment described below.

/(b)

(b) Expenditures from the National Treasury

For the purpose of carrying out its policies or when it considers there is a special need from the standpoint of the financial resources of a local public body, the central government may grant a subsidy from the national treasury to the local public body. Again, with respect to those affairs that are conducted by a local public body and which are concerned with the interests of both the central government and the local public body, the central government should issue an allotment from the national treasury.

Today a large amount of such subsidies and allotments are given by the central government for the projects covering many fields which are conducted by the local public bodies.

As these subsidies and allotments have their uses clearly specified, they constitute financial assistance to the local public bodies, but, on the other hand, they could also become a means whereby each central ministry may exercise its control over local administration to an unwarranted degree through their distribution. Of the present moment, the question of liquidation and rationalization of extremely small subsidies and allotments is under consideration and study by the Council on Rationalization of Subsidy etc. which is established as an advisory body to the Prime Minister.

## (10) Audits of Local Public Bodies by the Central Government

Even in the matter of audits, a local public body is independent of the central government and has an audit committee of its own. The Local Autonomy Law provides that the Minister of Home Affairs may exercise financial surveillance over a local public body when deemed necessary, but this Article may be invoked only in the case of an exceptional situation. On the other hand, a local public body may voluntarily ask for an audit by the central government.

In the central government there is established the Board of Audit, which, because of the nature of its work, is independent of the Cabinet and audits the whole range of the financial affairs of the State. Of course, this Board of Audit is not, in principle, authorized to conduct audits of a local public body, but the accounts concerning those affairs which the governor or head of a municipality carries out as an organ of the State naturally become the object of audits by the Board of Audit, and, besides, local finances are also subject to the same audits to the extent of the subsidy or allotment received from the national treasury.

## (11) Central Supervision of Local Public Bodies.

As described before, the relations between the central government and local public bodies are based on the principle of assistance and cooperation and are not of a nature in which

/direction

direction and supervision are exercised by the central government. As to the forms of cooperation of the central government with local public bodies, the Local Autonomy Law provides as follows:--

(a) The Minister of Home Affairs may make any pertinent technical advice or recommendation in order to contribute to the rationalization of the organization and operations of a local public body, either voluntarily or at the request of the local public body.

(b) The competent Minister may make any pertinent technical advice or recommendation to a local public body on matters under his jurisdiction either voluntarily or on the basis of the results of the audit conducted at the request of the local public body.

As a form of Central supervision of a local public body. Parallel with financial surveillance by the Minister of Home Affairs mentioned in (10) above, the Prime Minister may take a series of measures to ensure the proper management of affairs by a local public body and its head, but this is a system established solely in anticipation of the emergence of an exceptional situation.

Note: As for the details of the Local Allocation Tax System and the Expenditures from the National Treasury, please refer to "The Local Finance System in Japan" presented to EROPA Seminar in Tokyo, 1961.

# Annex I Main Local Branch Offices of Central Ministries

Ministry	External Organ	Local Branch Office	
		Larger	Smaller
Ministry of Justice		Legal Affairs Bureaus	District Legal Affairs Bureaus
		Correction Regional Headquarters	
		Regional Offenders Prevention & Rehabilitation Commissions	
		Immigration Offices	
	Public Safety Investigation Agency	Regional Public Safety Investigation Bureaus.	District Public Safety Investigation Bureaus.
Ministry of Finance		Regional Finance Bureaus	District Finance Offices
		Custom Houses	Branch-Customs
	Tax Administration Agency	Regional Tax Administration Bureaus	Taxation Offices
Ministry of Health & Welfare		Medical Affairs Branch Offices	
		Regional Narcotic Investigator's Offices	

(1)	(2)	(3)	(4)
Ministry of Agriculture & Forestry.	Regional Agricultural Administration Bureaus.		
	Food Agency Forestry Agency.		Statistics and Survey Offices.  District Forestry Forestry Offices.
Ministry of International Trade & Industry.	Regional Bureaus of International Trade and Industry		
	Ministry of Transportation	Regional Maritime Transportation Bureaus.	
		Regional Port Construction Bureaus.	
		Regional Land Transportation Bureaus.	
Meteorological Agency	Regional Meteorological Observatories.		District Meteorological Observatories

(1)	(2)	(3)	(4)
Ministry of Postal Services.	Regional Postal Inspection Bureaus.		
	Regional Postal Services Bureaus. Post Offices		
	Regional Radio Regulatory Bureaus.		
	Local Postal Savings Offices.		
	Local Post Office Life Insurance Offices.		
Ministry of Labour	Prefectural Labour Standards Offices.		
	Labour Standards Inspection Offices.		
Ministry of Construction.	Regional Construction Bureaus.		
	Construction Offices etc.		



## Annex II The State of Ordinary Local Public Bodies

Prefecture	Population	<u>Number of Municipalities</u>		
		city	Town	village
Hokkaido	5,039,206	29	144	48
Aomori	1,426,606	8	31	28
Iwate	1,448,517	12	28	23
Miyagi	1,743,195		59	8
Akita	1,335,580	8	41	23
Yamagata	1,330,664	12	26	8
Fukushima	2,051,137	14	62	44
Ibaraki	2,047,024	16	40	36
Tochigi	1,513,624	11	29	10
Gumma	1,578,476	11	37	35
Saitama	2,430,871	23	35	36
Chiba	2,306,010	19	63	13
Tokyo	9,683,802	11	20	10
Kanagawa	3,443,176	14	23	1
Niigata	2,442,034	20	51	45
Toyama	1,032,614	9	21	9
Ishikawa	973,418	7	28	7
Fukui	752,696	7	22	10
Yamanashi	782,062	7	33	24
Nagano	1,981,433	18	40	81

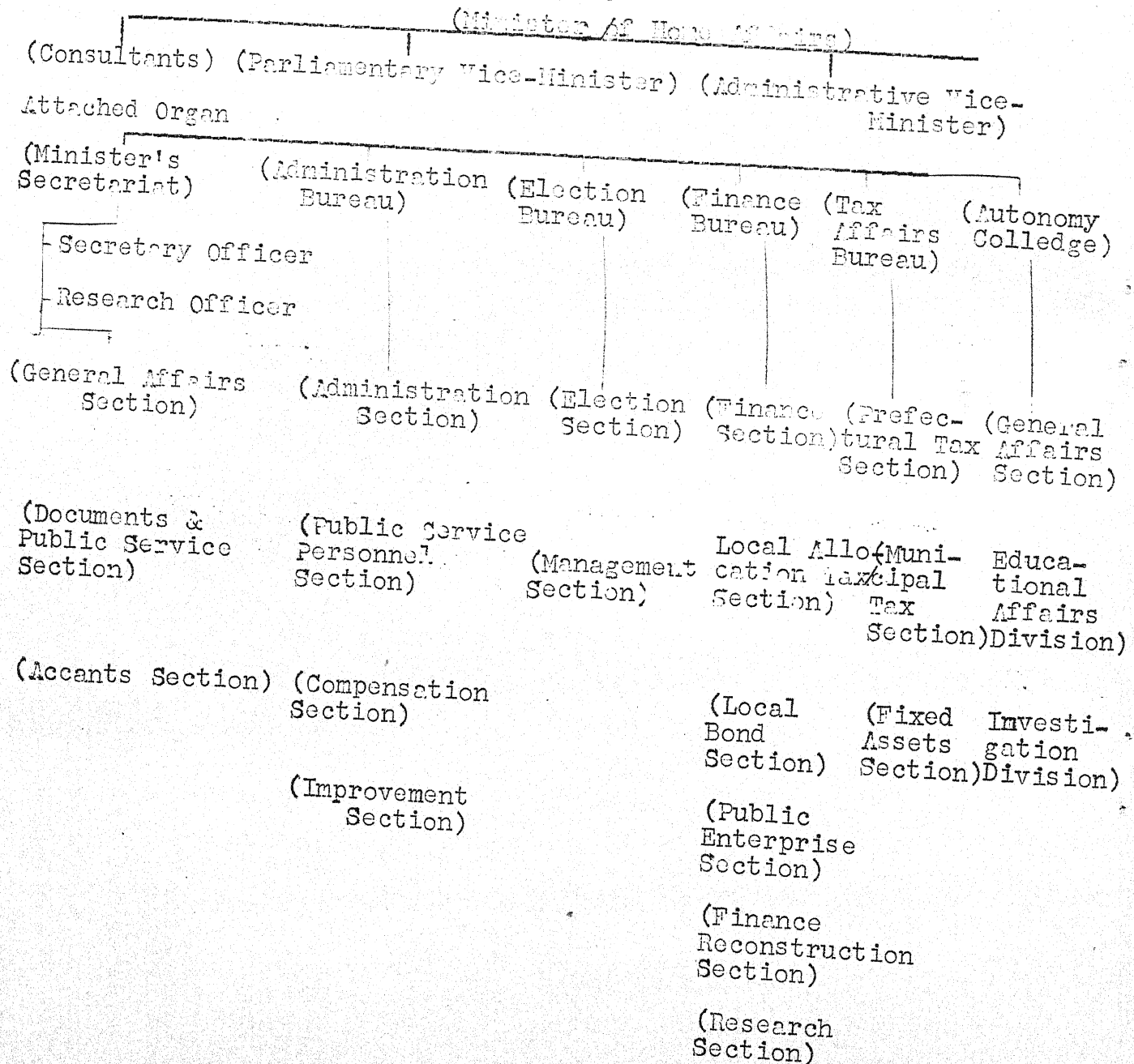
(1)	(2)	(3)	(4)	(5)
Gifu	1,638,399	13	45	43
Shizuoka	2,756,271	19	52	15
Aichi	4,206,313	22	55	19
Mie	1,485,054	12	41	18
Shiga	842,695	6	40	7
Kyoto	1,993,403	7	35	2
Osaka	5,504,746	27	18	2
Hyogo	3,906,487	20	77	0
Nara	781,058	8	14	25
Wakayama	1,002,191	7	37	7
Tottori	599,135	4	32	4
Shimane	888,886	8	34	19
Okayama	1,670,454	12	69	16
Hiroshima	2,184,043	12	87	10
Yamaguchi	1,602,207	13	35	9
Tokushima	847,274	4	40	9
Kagawa	918,867	5	36	3
Ehime	1,500,687	11	45	17
Kochi	854,595	9	21	25

(1)	(2)	(3)	(4)	(5)
Fukuoka	4,006,679	16	73	12
Saga	942,874	7	25	17
Nagasaki	1,760,421	8	54	18
Kumamoto	1,856,192	11	44	46
Oita	1,239,655	10	36	15
Miyazaki	1,134,590	8	26	15
Kagoshima	1,963,104	15	70	13
TOTAL :	93,418,104	557	1,964	885

Note: (1) Population data is based upon the result of 1960 national census.

(2) Number of municipalities is made up as of September 1, 1963.

## Annex III The Structure of the Ministry of Home Affairs



(External Organ - Fire-defence Agency)

(Director of Fire-defence Agency)

(Vice-Director of Fire-defence Agency)

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(General Affairs Section)	Fire-defence College	(Fire-defence Laboratory)
(Education Section)		
(Prevention Section)		

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Annex IV The Local Finance Programme for F.Y. 1963

(In Unit of 100 million yen)

Classification	Reference	Classification	Reference
A. Appropriations		B. Revenues	
I. Compensations	9,821	I. Local Tax	10,582
(a) Salaries	9,569	(a) Ordinary Tax	10,068
(b) Pension & Retire Allowance.	252	(b) Special Purpose Tax.	514
II. General Administration.	5,416	II. Local Transferred Tax.	358
(a) Expenditure with National Subsidies or Allotments.	2,929	(a) Transferred Road Tax.	345
(b) Expenditure not accompanied with National Subsidies or Allotments.	2,487	(b) Transferred Special Tonnage Tax	13

Classification	Reference	Classification	Reference
: A :		: B :	
III. Public Bonds	1,044	III. Local Allocation Tax	5,503
IV. Maintenance & Repair	634	(inclusive of temporary local special allocation grant)	
V. Investment	9,143		
1) Local Allotment for National Undertaking	421	IV. Expenditures of National Treasury	7,224
2) Enterprises with subsidies & Allotments	5,512	a) National Allotment for Compulsory Education	1,786
a) Public Works	5,020	b) Other ordinary Allotment	1,973
b) Unemployment Relief	492	c) Public Work	3,132
3) Enterprises not accompanied with Subsidies or Allotments	3,210	d) Unemployment Relief	321
a) Ordinary Construction	3,109	e) Grants to Municipalities where located Furnished National Facilities	12
b) Restoration of disaster	101	V. Local Bonds	997
VI. Expenditure exceeding Average Standard in Non-Local Allocation Tax Body	278	VI. Rents & Charges	605
		VII. Miscellaneous Revenue	1,067
Grand Total	26,336	Grand Total	26,336

Annex V The Local Bonds Programme for F.Y. 1963

Classification	F.Y.1962	F.Y.1963	Balance
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A. General Account Bonds:

1. Enterprise with General Subsidy.	155	185	30
2. Restoration of Disaster.	235	175	60
3. Compulsary Education.	155	190	35
4. High School.	50	90	40
5. Cleaning	40	55	15
6. General Enterprise not accompanied with subsidy.	65	85	20
7. Olympic.	10	10	0
8. Remote Region.	10	10	0
9. Allotment for National Undertaking.	130	130	0
TOTAL :	850	930	80



	(1)	(2)	(3)	(4)
B. Quasi-Public Enterprise Bonds.				
1. Harbour		45	58	13
2. Simply Waterplant		37	41	4
3. Butchery		10	11	1
4. Sewerage		175	220	45
5. Regional Development		287	429	142
6. Forestry.		(12)	(15)	(3)
		(12)	(15)	(3)
TOTAL :		554	759	205

## C. Public Enterprise Bonds.

1. Power	150	165	15
2. Waterplant.	425	600	175
3. Industrial Water Supply.	150	215	65
4. Sub-way	170	200	30
5. General Transportation.	24	86	12
6. Others.	42	55	13
TOTAL :	961	1,261	300

## D. Special Local Bonds

1. Residence.	40	44	4
2. Hospital	77	89	12
3. Other Establishments relating to health and sanitation and social welfare.	58	67	9

(1)	(2)	(3)	(4)
TOTAL :	175	200	25
	(12)	(15)	(3)
GRAND TOTAL :	2,540	3,150	610

Funds

Government Funds.	1,779	2,033	254
Publicly-Subscribed Funds.	761	1,117	356
Open Market.	210	260	50
Financial Corporation for Public Enter- prises.	245	330	80
Foreign Market.	90	162	72
Others	216	365	149

/PDM.

FOR PARTICIPANTS ONLY

CSLA/9

10 OCTOBER 1963

ORIGINAL: ENGLISH

UNITED NATIONS/EROPA SEMINAR ON  
CENTRAL SERVICES TO LOCAL AUTHORITIES

21 October to 6 November, 1963

Country Paper: India

By

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New Delhi

THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
INDRAPRASTHA ESTATE  
RING ROAD  
NEW DELHI (INDIA)

CENTRAL SERVICES TO LOCAL AUTHORITIES  
IN INDIA

I. BASIC DATA : GEOGRAPHIC AND DEMOGRAPHIC

The Indian Union including Jammu and Kashmir and Sikkim has an area of 1,261,511 sq. miles. Politically it is divided into sixteen States, which are substantially uni-lingual and comparable in area to the major States of Western Europe like France or Germany, and nine Union Territories under the direct administration of the Federal Government. <sup>(1)</sup>

(1)	<u>Name of State</u>	<u>Area</u>	<u>Population</u>	<u>Language</u>
1.	Andhra Pradesh	106,286	35,983,447	Telugu
2.	Assam	47,091	11,872,772	Assamese
3.	Bihar	67,196	46,455,610	Hindi
4.	Gujarat	72,245	20,633,350	Gujarati
5.	Kerala	15,002	16,903,715	Malayalam
6.	Madhya Pradesh	171,217	32,372,408	Hindi
7.	Maharashtra	118,717	39,553,718	Marathi
8.	Madras	50,331	33,686,953	Tamil
9.	Mysore	74,210	23,586,772	Kannada
10.	Orissa	60,164	17,548,846	Oriya
11.	Punjab	47,108	20,306,812	Punjabi
12.	Rajasthan	132,152	20,155,602	Hindi
13.	Uttar Pradesh	113,654	73,746,401	Hindi
14.	West Bengal	33,829	34,897,279	Bengali
15.	Jammu & Kashmir	86,023	3,560,976	Kashmiri
16.	Nagaland	6,366	369,200	

Union Territories:

1.	Delhi	573	2,658,612
2.	Himachal Pradesh	10,885	1,351,144
3.	Manipur	8,628	780,037
4.	Tripura	4,036	1,142,005
5.	Andamans	3,215	63,548
6.	Laccadives	11	24,108
7.	Goa, Diu & Daman	1,426	N.A.
8.	Dadra & Nagar Haveli	189	N.A.
9.	Pondicherry	186	369,083

/At the census

At the census of 1961, the population of the country was 437,235,082 with an average density of 339 per sq. mile. The annual rate of increase is 2.2%. By religion the population is 85% Hindu; 10% Muslim; 2% Christian; 1.7% Sikh; 0.6% Buddhist; 0.5% Jain and .03% Zorastrian.

The population is predominantly rural, 359,435,607 or 82.2% of the total live in 564,718 villages. These vary in size from state to state and are of the nucleated type, except in Kerala where farmsteads are scattered. The smaller village unit predominates. Agriculture is almost the only occupation of the rural population. Agricultural holdings are small, and the methods of cultivation traditional. Village housing is poor and there are few modern amenities. Literacy in the villages is considerably less than in urban areas.

The total urban population is 78,835,989, and the number of towns is 2690, counting as towns all areas inhabited by 5000 or more people. The pace of urbanisation has been rapid since 1921. From 10.2% the urban population has increased to 17.8% in 1961. While the older towns were based on political, religious or military functions, the newer towns are based on industry or commerce. More than a third of the urban population is made up of migrants from villages, coming to towns in search of employment. There is a large floating population. Urban

/housing is

housing is inadequate, and cities are faced with vast problems of housing and slum clearance. There is as yet little planning so that most towns present a picture of over grown villages.

There are a dozen major languages and a host of minor dialects spoken in the country.<sup>(2)</sup> Most of the major languages have great literatures and cultural traditions of their own extending over several centuries. Hindi is spoken or understood over the greater part of Northern India. English is studied as a second language at the secondary stage in all schools and is the medium of instruction in some. University education is largely through English. All over the country, therefore, there are considerable numbers, perhaps about 25% of all literates, understand English. It is, at present, the language of communication between the States. Literacy is 24% and is fast increasing, though not as fast as one might desire.

Internal communications are fairly well developed. There  
/are 35,395

(2) The number of Speakers of the principal languages of India:

<u>Language</u>	<u>Number of Speakers</u>
Hindi )	149,944,311
Urdu )	
Hindustani )	
Punjabi )	
Telugu	32,999,916
Marathi	27,049,522
Tamil	26,546,764
Bengali	25,121,674
Gujarati	16,310,771
Kannada	14,471,764
Malayalam	13,380,109
Oriya	13,153,909
Assamese	4,988,226

are 35,395 miles of railways, over 5,000 miles of inland waterways, 144,000 miles of surfaced roads, and 250,000 miles of unsurfaced roads. The road mileage per 100 square miles is 31 miles. Most of the principal towns are linked by internal air services. Telegraph and postal facilities exist in most parts of the country both, urban and rural.

## II. HISTORICAL FACTORS

India is characterised by a fundamental unity of culture, outlook and traditions which transcends the many apparent differences of race, language, religion and caste and the enormous distances that separate the different parts of the country. This cultural unity was achieved early in the history of the country and has withstood every challenge and has been strengthened in the process. Political unity, on the contrary, has been both difficult to achieve and to maintain. India's political history may indeed be seen as a constant struggle between unifying and disintegrating factors, an alternation between loosely knit and autocratic empires and conditions bordering on anarchy until the establishment of British rule during the nineteenth century. The British created a centralised and efficient modern administrative machine and a political system for the whole country. The structure of the government set up by them was bureaucratic and its spirit strongly centralist.

/After independence



After independence this spirit of centralism has persisted. It has been powerfully reinforced by national planning for economic and social development and by the necessity of holding in check the centrifugal forces of regionalism and linguistic and caste loyalties from breaking the unity of the country. The problem of decentralisation can only be considered in the context of the paramount need for maintaining the unity of the country.

There is an ancient and nearly universal tradition in the country of the management of the common affairs of village by village folk in their primary assemblies or panchayats. Though weakened considerably by the bureaucratic centralisation of the nineteenth century and the growing interdependence of villages under modern economic conditions, this tradition may yet serve to some extent as the basis of a limited decentralised democracy in rural areas of the country.

Local government in India has a long history and alternates between brief spells of institutional development and progress followed by long periods of stagnation and even recession. The first attempt to set up local government was made in 1686 when Madras was made a Municipal Corporation on the prevailing English model, with a fully elected Council, Mayor, alderman and common councillors, chosen by burgesses and invested with a power to levy a rate and administrative and judicial functions.

/The attempt

The attempt was not a success and its constitution had to be soon revised. Municipal Corporations were set up in Calcutta and Bombay in 1726. In other urban areas, Municipal Committees came to be established only after 1840. Since then, however, the development of municipal government has been continuous. Greater powers were devolved on municipal bodies and their constitutions were gradually liberalized. Following the Montagu-Chelmsford Reforms in 1919, local government was democratized, nominee councils being replaced by elected councils and official chairmen by elected non-official chairmen. Today most urban areas elected councils based on adult suffrage, and democratic municipal institutions may be said to be well established.

The progress of rural local government has been, by contrast, very slow. The first rural local institutions were small, quasi-official committees appointed by the Government to administer 'local funds' and look after education, roads, and certain medical services, following the decision of the Government of India to decentralise these services in 1869. In 1882 a definite policy of establishing a general net work of rural local authorities as an instrument of political education was enunciated by Lord Ripon the Viceroy. As a result of this District Boards and Taluk and Circle Boards were established throughout the country. The failure to provide the new Councils with adequate financial resources and the strong opposition of Provincial Governments to the reforms were serious

/obstacles in

obstacles in the way of their development and there was little progress in local responsibility. The next forward step followed the Report of the Decentralisation Commission in 1909 when the Government decided upon a policy of resuscitating village panchayats. A new era in the development of rural local government really began only after the Reforms of 1919 when it came under the control of Indian Ministers. Through comprehensive legislation adopted in the twenties district and taluk or tehsil boards, with elected presidents and majorities, were set up and endowed with both wider functions and increased powers of taxation in all the Provinces of India. Panchayats were given a statutory basis and were established in larger numbers in some of the provinces.

But since the twenties, when this great spurt in local government occurred, its progress has again been extremely slow. In the two decades before the Second World War, there was a great deal of experimentation with the constitution, areas and powers of local bodies hardly providing any time for them to take root. They have suffered from a chronic lack of finance due to the general economic depression. Adequate machinery of guidance and control was conspicuously absent and there was no significant growth of a civic sense. Local government suffered also from the apathy of the general public as much as from the treatment it received from a centralising bureaucracy. A century of

/development

development had resulted in wide spread net work of rural boards and a few thousand village Panchayats. The vast majority of the villages had no self-governing institutions of any sort. The local bodies which had been set up could hardly be described as functioning effectively on the eve of independence.

The present structure of rural local government is almost wholly a new creation. It has been fashioned anew to meet the needs of economic development and it may even be said that it is a by-product of the Community Development movement launched in 1952. It is the result of an effort to translate into institutional terms the nationalist political ideals of village autonomy and democracy. It has been brought into existence in great measure by the initiative and drive of the Union Government.

### III. THE BROAD PATTERN OF CENTRAL AND STATE GOVERNMENTS

The present constitution of India was adopted in 1949 and brought into operation in 1950. It provides for a democratic, federal and parliamentary system of responsible government. India is a union of sixteen constituent States and a number of Union territories. The legislative powers of the Union and States are enumerated in detail in the Union, State and Concurrent legislative lists which form the seventh schedule of /the Constitution.

the Constitution. But a measure of flexibility has been introduced in the distribution of legislative authority by provisions enabling the Union Government to act in the State sphere in emergencies and when there is any need.

The head of the State is a President elected by the Union and State Legislatures for a term of five years. He is a constitutional ruler and acts on the advice of the Council of Ministers headed by the Prime Minister. The Council of Ministers is collectively responsible to the Lok Sabha which is the lower House of Parliament. It has a membership of 500 and is directly elected by territorial constituencies each returning a member on the basis of adult suffrage. Its term is five years but it may be dissolved earlier. The Upper House, known as the Rajya Sabha has about half the membership of the Lower House (236) and is indirectly elected by State Legislatures. A few members are also nominated by the President for distinguished service in arts, letters or administration. One third of its membership is renewed every two years. Its position is distinctly subordinate to that of the Lower House.

The pattern of State government is identical. A Governor appointed by the President for a term of five years is the constitutional head and a Council of Ministers with a Chief Minister advises the Governor in the discharge of his functions. It is collectively responsible to the Lower House of the State

/Legislature.

Legislature. The legislature is bicameral in nine states and unicameral in the others. Lower Houses are directly elected by adult suffrage in single member territorial constituencies. Its term is five years, but it may be dissolved earlier. Second chambers are chosen by indirect election in part by electoral colleges representative of local authorities and in part by the lower House. A few seats are filled by nomination.

Governments both at the Centre and in the States follow British conventions of Cabinet Government. Parliamentary procedure is similarly modelled on the procedure of the British Parliament.

The Constitution sets up an integrated judiciary with a Supreme Court at the apex and a High Court in each of the States with a hierarchy of lower courts. The independence of the judiciary is assured by the Constitution. The judiciary is both the guardian of the Constitution and of the fundamental rights of the citizen guaranteed by it.

#### IV. THE PATTERN OF URBAN GOVERNMENT

There are over 2300 urban local authorities in the country. These include (i) 21 Municipal Corporations in metropolitan areas and the larger cities; (ii) about 2100 Municipal Boroughs and Councils in the lesser towns; (iii) about



550 Notified Areas, Town Areas and Town Panchayats; (iv) 83 Cantonment Boards and (v) 50-60 Improvement Trusts, Development Authorities, Housing Boards and other miscellaneous local authorities.

Municipal Corporations are distinguished from other Municipal bodies by the larger range of their powers and resources. The governing authorities of a Corporation are: an elected council of 80-150 members, a standing committee for finance and general purposes, committees for education, improvements, works, medical relief, markets and gardens and for other functions, and a Municipal Commissioner appointed by the State Government and vested by statute with a clearly defined field of executive authority. A Corporation has an elected Mayor and a Deputy Mayor to preside over the meetings of the Council. Functions are divided into obligatory and discretionary. The latter include power to undertake any measure likely to promote public safety, health, convenience, or instruction. The resources of the Corporation are drawn from taxes on property, animal and vehicles, professions and callings, license fees, service charges etc., the octroi, theatres etc. income from remunerative enterprises and from grants-in-aid from the State Government.

The set up of municipal government is fairly uniform throughout the country. In a municipal borough or municipality the governing authorities are a Council and a chairman. The

/Council is



Council is elected by wards of the towns and the Chairman is elected by the Council. There is a municipal commissioner or secretary who is the principal executive officer. He is usually drawn from a state-wide cadre of executive officers and may be transferred from one municipality to another. Municipal functions are classified as obligatory and optional. A municipal council functions through a number of standing committees in the discharge of its functions. The main sources of revenue are taxes on property and circumstances, taxes on professions, entertainments, the octroi, taxes on carts, vehicles and animals, service charges, license fees, income from property, and remunerative enterprises, and grants from the State Government.

The State Government exercises supervision and control over municipal bodies. It calls for periodic reports; its officers inspect the municipal offices and works. It has power to suspend or supersede municipal authorities and to act when they fail to carry out their statutory duties. Municipal accounts are audited by State auditors who have powers to surcharge illegal and unwarranted expenditure.

Other municipal bodies consist of nominated members or are merely official agencies.

#### V. THE PATTERN OF RURAL GOVERNMENT

Panchayati Raj is the name of the present system of  
/rural local

rural local self-governing institutions which have been mostly established since 1959. In its objectives as well as its scope and content Panchayati Raj is different from any reform of local government attempted in the past and is an administrative revolution with immense potentialities for future advance. It seeks to effect a fundamental change in the centralised bureaucratic administrative apparatus which independent India inherited from the British. This development may be traced to the recommendations of the Second Five Year Plan, "that village Panchayats should be organically linked with popular organisations at a higher level and that by stages, determined in advance, democratic bodies should take over the entire general administration and general development of the district or the sub-division perhaps other than such functions as law and order, administration of justice and certain functions pertaining to the revenue administration."

A Study Team under Shri Balwantray Mehta which examined the progress of community development in India in 1957 wrote:

"So long as we do not discover or create a representative and democratic institution which will supply the 'local interest, supervisions and care necessary to ensure that expenditure of money upon local objects conforms with the needs and wishes of the locality', invest it with adequate power and assign to it appropriate finances, we will never be able to

/excite local

excite local initiative in the field of development."

The Committee recommended the creation of "a single representative and vigorous democratic institution to take charge of all aspects of development work in the rural areas." "Such a body if created, has to be statutory, elective, comprehensive in its duties and functions, equipped with necessary executive machinery, and in possession of adequate resources. It must have the power to make mistakes and to learn by making mistakes, but it must also receive guidance which will help it to avoid making mistakes. In the ultimate analysis, it must be an instrument of expression of the local people's will in regard to the local development." (Vol. I 25).

The Committee sketched a three tier system of rural local government with the Village Panchayat at the base, the Panchayat Samiti at the intermediate (bloc) level, and the Zilla Parishad at the district level. The Committee recommended that these bodies should be organically connected through their membership and serve both as units of self-government as well as a unit of planning and development.

The policy of democratic decentralisation recommended by the Committee was accepted by the National Development Council and the implementation of the policy which began in 1959 is now nearly complete. The resulting structure of Panchayati Raj

/is outlined

is outlined below:

The new local authorities are in three tiers, Village, Bloc and District, are hierarchic and organically linked. At the base of the structure in all the States except Madras, Mysore, Kerala and Jammu and Kashmir, is the Gram Sabha, the primary village assembly of all adult residents of village and the Village Panchayat which is a small representative body for the management of village affairs. The functions of the Gram Sabha are to discuss the annual budget, administration report and development works to be undertaken in its area. A recent study team that examined the working of the Gram Sabha has suggested that in order to secure the development of a 'participating democracy' Gram Sabhas should be given a more important role in the scheme of Panchayati Raj with power to review the working of the Panchayats.

The Village Panchayats have a membership of 5-31 the average being 15 members elected in wards or at large by the adult residents of the village. Seats are reserved for women and the scheduled castes. The President and Vice-President are elected by the Panchayats themselves in all the states except Assam, Bihar, Madhya Pradesh, Punjab, Rajasthan and Uttar Pradesh where they are elected directly by the residents of the village. The terms of the Panchayats vary between 3 and 5 years. Almost the entire rural area of the country is covered by 203,049

Panchayats.

The Panchayat Samiti is the next higher authority. Its jurisdiction is coterminous with that of the Community Development Bloc of which there are 5149 functioning at present. In approximately half of them Panchayat Samitis have been set up. These are in the ten States which have already adopted and implemented legislation establishing Panchayati Raj institutions.

The Panchayat Samiti is indirectly chosen in all the States except Assam and Mysore. In these States they are directly elected and are also known by a different name: Anchalik Parishad and Taluk Development Board. The membership of the Panchayat Samiti includes all President (Sarpanches) of Panchayats within its area, members of the Union and State legislatures (without voting rights) and a few ~~coopted~~ members representing women, scheduled castes and tribes and cooperative banks. In Orissa and Madras a second member is elected to represent the Panchayats by the members of all the Panchayats. The Maharashtra the Samiti includes the local members of the Zila Parishad with the addition of two Sarpanches elected by the Panchayats, and coopted representatives of women and scheduled castes and cooperative institutions within the area.

The highest tier in the scheme of Panchayati Raj is the Zila Parishad. It is coterminous in most cases with the old

/revenue districts

revenue districts of which there are about 300. In Assam, however, the sub-division is the area and in Madras there has been a bifurcation of the old revenue districts to form 21 new Development Districts. The membership includes the Presidents of the Samities, M.L.As, M.Ps; and a few co-opted women, representatives of scheduled castes and tribes and banks and persons interested in rural development.

The new rural authorities are intended to be units of local self government for the provision of municipal services as well as instruments for economic and social development. The assignment of powers and functions to the different tiers has been made with this end in view. Functions are classified as obligatory and optional in all cases and include developmental work. The work of Village Panchayats includes besides the provision of safe drinking water, drains, streets, lights, sanitation etc. welfare and cultural functions such as the maintenance of maternity and child welfare centres, reading rooms, libraries etc. Their functions include participation in planning village production programmes in agriculture and the execution of developmental works in the village.

The Panchayat Samiti's functions are primarily developmental, but include the normal functions of local government, such as education, health, rural sanitation, roads, and minor irrigation. It plans and executes developmental activities

/in the fields

in the fields of agricultural production, animal husbandry, pisciculture, etc. Except in Madras, it supervises and controls the Panchayats within its area, and the budgets of the Panchayats need its approval.

The role of the Zila Parishads varies considerably among the States. In Rajasthan, Madras, and Punjab it is an advisory and coordinating body. In other States it is given some executive functions in regard to secondary education, roads and health and the allocation of grants. Where the Zila Parishad has no executive functions it may be said that the system of Panchayati Raj is effective only in one of two tiers.

The scheme of Panchayati Raj in Maharashtra is distinctive in several ways. It aims at a far greater degree of decentralisation than has been effected in other states. The Zila Parishad is the principal authority to which authority is devolved. Unlike in other states the whole range of local administration in the fields of welfare and development at the district level is brought under popular control here. District field officials of the technical departments are subordinated to the Zila Parishad. The services transferred include agriculture, education, health, cooperation, works and the necessary finances. The Zila Parishad is unique also in that it is directly elected by the adult voters in the district. The Panchayat Samiti is not a corporate body and its main function is the execution of



the plans and programmes of the Zila Parishad for the development of the area within its jurisdiction. It has powers to formulate plans for its area and to propose additions to the land cess. But final decisions rest with the Zila Parishad. The Samiti's role is relatively unimportant in the scheme of decentralisation.

The finances of rural local bodies are derived from taxes, licenses and fees, voluntary contributions and grants from the State Government. A variety of taxes may be levied by these authorities. These include taxes on property and circumstances, houses, professions transfers of property, vehicles, animals, agricultural land, a terminal tax, octroi, land cess, and many others and license fees for carts, bus stands, stalls, theatres, etc. Some of these must be levied, while others are optional. The State transfers to them land revenue, local cess on land revenue, proceeds of surcharges on stamp duties and the proceeds of entertainments tax, and makes both bloc and specific grants. Nearly 70% of the revenue of local authorities is derived from grants made by the State Government.

#### VI. UNION MINISTRIES AND STATE DEPARTMENTS PROVIDING ASSISTANCE TO LOCAL GOVERNMENT

Though local government is a state subject and is primarily the responsibility of the State Governments the Union

/Government has

Government has been taking the most active interest in its development. The Planning Commission and the Ministry of Community Development, Cooperation and Panchayati Raj have been energetic in the development of rural self-government as a means of securing the participation of the people in national economic development. The recent advances in the sphere are largely due to their initiative and drive. The Ministry of Health is concerned with the development of municipal and metropolitan government. The Union Ministries and the Planning Commission formulate in close consultation with State ministers and departments, all-India policies in regard to local government, provide financial and technical assistance, and carry out research.

In all the States there are separate Departments of Local Self-Government and in some States more than one department which are responsible for the development of local self-governing institutions. These departments are known by different names in the several States: Planning and Panchayati Raj Department and Health, Housing and Municipal Administration Department (Andhra Pradesh), Rural Development and Local Administration (Madras), Urban Development and Public Health Department and Cooperation and Rural Development (Maharashtra), Department of Community Development and Panchayats (Bihar), Panchayats and Development Department (Rajasthan) etc. These Departments have over all control of local authorities, extend the necessary

/guidance and

guidance and financial support for their programmes, coordinate the activities of the different functional ministries in their relations to local authorities, provide for inspection, control and audit and are generally responsible for the efficient functioning of local self-governing institutions.

VII. THE FIELD ORGANISATION OF CENTRAL DEPARTMENTS  
AND ITS RELATION TO LOCAL GOVERNMENT

Every State is divided into districts. These have an average area of some three thousand square miles. They are combined to form Divisions on the one hand and divided into sub-divisions, taluks, and villages on the other, for general administrative purposes. The areas for the field administration of technical services, like agriculture, health, education, public works, correspond in large measure to these administrative divisions. At the district level most of the technical services have field officers whose work in the district is coordinated by the District Collector.

The introduction of Panchayati Raj has necessitated a redefinition of the relationship between the field personnel of the technical services and the new local authorities. At the district and the Samiti level the senior field staff of the technical departments have been brought in as advisers and are

/required to

required to attend meetings of the Zila Parishad and Panchayat Samiti. The technical staff for extension work **in the Bloc** level has been placed under the Chief Executive officer (B.D.O.) of the Samiti administratively and carries out the plans and programmes of the new local authority. An attempt has been made in this way to secure the best technical advice for local authorities in the making and execution of their programmes in regard to agriculture, health, education and public works.

#### VIII. PRESENT LOCAL GOVERNMENT SERVICES

The services wholly operating under local authorities in India are for historical reasons few. It may be recalled that in origin local authorities were auxiliary agencies to the field administrative units of a highly centralised government and only gradually they were entrusted with a larger share in the management, of the services devolved on them and under the strictest surveillance by the district and divisional officers of the State Government. Most services on the developmental side continue to be divided between the field agencies of the State Government and the new local authorities e.g. education, hospitals, public works, irrigation, agriculture and animal husbandry, etc. In the field of civic amenities, however, the control of local authorities is greater. In other words,

/ the degree of

the degree of decentralisation of powers has not been such as to endow local authorities, with complete control of any service. Law and order, revenue, and judicial administration remain completely out of the ~~sphere~~ of local authorities and under State field agencies. There is thus a dual system of local administration, one under the field agencies of the State Government and the other under the new local authorities. This has been a distinctive feature of local self-government in India since its inception.

#### IX. CENTRAL SERVICES IN SUPPORT OF LOCAL AUTHORITIES

Local authorities in India, as elsewhere, are creations of the State Legislatures. The ambit of their powers and their obligations are prescribed by the latter in ~~statutes or rules made~~ under them. The compliance of local authorities with the law is secured by administrative procedures and judicial sanctions. In all States in India there are, as we have noticed, one or two Departments primarily concerned with the development of rural and urban local government. Most of the technical departments of the State Government, particularly the departments of Agriculture, education, Public Health and Finance have close functional relationships with local authorities. The activities of the State Government in their relationships with local  
/authorities may

authorities may be broadly analysed as: (i) General administrative guidance; (ii) Technical assistance; (iii) Assistance in the field of personnel and training; (iv) Financial help and (v) The correction of errors, excesses or negligence which local authorities are liable to, due to inexperience, over much zeal, or faction or other cause.

(i) Administrative Guidance

Administrative guidance includes a large variety of services: from prescribing standard forms of accounting registers budgetary forms, model bye-laws, procedures for meetings, tenders, etc. to advising local authorities when requested on day to day problems and the issue of circulars from time to time on problems that need attention. Though the O & M units in State Governments are not known directly to assist local authorities, a considerable element of O & M work is to be found in the administrative guidance of the State Local Self Government Departments. Orderliness and regularity as well as speed and performances are among the aims of such administrative guidance. To a great extent this is the field of the Departments of Local Self-Government in the States.

(ii) Technical Assistance

The volume of technical assistance rendered to local authorities by functional departments is enormous. In the fields  
/of public health,



of public health, agriculture, animal husbandry, the execution of public works, town planning, local authorities are advised and assisted by the higher qualified technical staffs of the State Governments both in the field and at Headquarters. It is a noteworthy feature of the scheme of Panchayati Raj that the field of officers of the State Technical Departments like agriculture public works, and Health, have been directed to attend meetings of the Zila Parishads and Panchayat Samitis. What is really important is the continuous consultation between the field staffs of the State technical departments and of local authorities in the planning of programmes of works and in their implementation.

(iii) Assistance in Personnel Recruitment and Management

State assistance in regard to the recruitment and training of the staffs of local authorities or in introducing modern methods of personnel administration has not been developed to the extent necessary to secure local authorities the most competent professional services or in a manner that assures the control of local authorities over their own staffs. The higher administration, executive and technical staff of both municipal and rural local authorities are members of State Services, recruited by the Public Service Commissions in the States, subject to the rules of /their services,



their services, and on loan to local authorities. Local authorities themselves appoint only the lower categories of their employees. The State Government prescribes by rules the qualifications, emoluments, conditions of service, and disciplinary rules for all local government servants except the purely clerical and manual employees. As establishment grants given by States the control of the State governments in this sphere is real.

For the recruitment to the subordinate Panchayat raj services a State Panchayati Raj Service Commission at the State level and district services commissions have been set up in one of the States (Rajasthan). Elsewhere Appointments Committees set up by local authorities recruit personnel (Andhra).

Among the urban authorities the city of Calcutta alone has a Municipal Service Commission for recruiting its staff. Others recruit their staffs through Selection Committees or Appointments Committees. Some authorities such as Delhi use the Public Service Commission to recruit its staff.

There has been little assistance in the training of municipal employees by the State Governments. The question is under the consideration by the Union and State Governments. The training facilities that exist are those provided by the Indian Institute of Public Administration which runs short term courses for municipal administrative personnel, by some of the

Universities which offer a diploma course in local administration and by the Bombay and All-India Institutes of Local Self-Government which run training courses for the employees of municipal authorities at the graduate as well as at a lower level.

The assistance rendered by the Central and State Governments in the training of the staffs and non-official members of rural local authorities under Panchayat Raj has been significant. A country wide net work of training centres has been established to train the members of the extension staffs, administrative personnel, and non-official members of local authorities, and selected members of the legislatures in rural work and community development. At the apex of these institutions there is a National Institute for Study and Research in Community Development and Panchayat Raj. This large and imaginative programme of training has been the result of the initiative of the Ministry of Community Development, Cooperation and Panchayati Raj, and is largely financed by the Union Government.

Institutions for research in local government are: (i) the National Institute for Study and Research in Community Development; (ii) the Indian Institute of Public Administration; (iii) Association of Voluntary Agencies for Rural Development; (iv) The Central Institute of Training and Research in Panchayati Raj maintained by the All-India Panchayat Parishad; and (v) the Bombay and All India Institutes of Local Self-Government. The

/first is

first is maintained by the Ministry of Community Development. The others are unofficial and voluntary associations, but are financially assisted by the Government in varying degrees.

(iv) Financial Assistance

In the field of finance local authorities have not yet developed a solid base for their autonomy, through the full utilisation of their powers of taxation or other sources of revenue. In part this is due to low agricultural productivity, and in part due to the unwillingness of elected councillors to assume responsibility. Central financial help to local authorities has been substantial in recent years amounting to as much as 70% of the total expenditure of local authorities. Central assistance has been mainly in the form of grants. A grants-in-aid code, based on principles of equity and designed to secure a minimum national standard of social services, is slowly taking shape in the non-progressive state such as Madras and Maharashtra. It may be noted that the greater part of the grants are non-statutory as well as specific involving a relatively larger measure of control over local authorities.

No separate local loan agencies have been set in India. Local authorities with the exception of the Corporations of Bombay, Calcutta and Madras do not borrow from the open market and are dependent exclusively on loans made by the State Governments for developmental or other public works involving

/expenditure.

expenditure. A Study Team which recently examined Panchayati Raj Finances in the country has recommended the setting up in each State of a Panchayati Raj Finance Corporation to make loans to Panchayat Raj Institutions for public utility undertakings, the construction of shops, markets and hotels, etc. purchase of tractors, pumping sets and bore well units; plantation and afforestation; scientific pisciculture and small scale and medium industries.

State Governments provide assistance in tax administration by providing local authorities with the technical staff for assessing land values and property for purposes of taxation. State revenue agencies collect local cesses and rates levied on the basis of taxes assigned to local authorities which form a considerable part of local tax revenues, and treasury functions are performed by them in the absence of a well developed banking system in the country. The entire audit of the accounts of local authorities is carried out by State agencies.

(v) Supervision and Control

The powers of supervision and control by the State Government over local authorities, both urban and rural, are wide and include powers to call for reports and returns, to inspect, suspend presidents and councillors, supersede and reconstitute councils, to direct action to be taken or to act in default. These powers are exercised by the Government through its field

/agents, the

agents, the Commissioner or Deputy Commissioner or Collector, in the case of the higher tiers, of local authorities and by the Deputy Collector in the case of the lowest tier. There has been a great deal of criticism of the exercise of the powers of suspension and the supersession of elected councils in the past as opposed to the spirit of local self-government and unhelpful in its growth. The need for vesting the Government with these powers of control can hardly be contested. But it should be emphasised at the same time that these are reserve powers which should be used only in extreme cases when it is impossible to work local institutions. Calling for reports and inspection by competent senior officials, both general and technical, can indeed be extremely useful task for improving the performances of local authorities.

There is a danger inherent in so comprehensive a system of central assistance and tutelage that it might smother local autonomy. It cannot be said that this has been wholly avoided.

X. UNIONS OF LOCAL AUTHORITIES, VOLUNTARY AGENCIES  
AND OTHER ORGANISATIONS FOR THE IMPROVEMENT OF  
LOCAL GOVERNMENT

Several official and unofficial, all India, State and local Institutions, have been set up in recent years with the object of aiding the growth of local government. The most important of the

/official



bodies in the Union is the Central Council of Local Self Government which was set up in 1954. It is an inter-state organisation with the Minister for Health of the Union Government as its chairman and the ministers for local self government in all the states as members. "The functions of the Council are inter-alia to consider and recommend broad lines of policy in local self government matters; to draw up a common programme of action; and to coordinate and supply information on local government to state governments. "The Council has met regularly once a year and has considered a wide range of problems affecting municipal government and helped in the formulation of a common policy in regard to many of them.

There is an Informal Consultative Committee of Parliament to advise the Ministry of Community Development in matters relating to rural local self government. Periodic conferences between the representatives of the Ministry and those of State Departments of Panchayati Raj both at the ministerial and official levels are used extensively in the formulation of common policies in relations to Panchayati Raj.

An All-India Conference of Municipal Corporations has been meeting every year since 1959 and has discussed such important problems as town planning, health, water supply and drainage, urban development programmes, rural-urban relationships, finances, assessment and taxation of property, control over air

/and river

and river pollution, housing and slum clearance etc. An All-India Council of Mayors has been established as a continuing body.

Among non-official agencies the most important is the All-India Panchayat Parishad sponsored by two of India's foremost leaders in the field of rural self government, Balwantray Mehta and Jaya Prakash Narayan and set up in 1958. The All-India Panchayat Parishad is a non-political and nonparty association of Panchayat Raj bodies, State Legislatures Municipal Committees and similar institutions. It is intended to be a common forum for Panchayat Raj institutions for the exchange of experience and ideas on the problems of Panchayati Raj administration and for educating the people in Panchayati Raj. Its activities include research, training and clearing house functions.

Similar institutions have also been established in some of the States. Informal Consultative Committees of selected members of the State Legislatures have been set up in a few States to advise the Government on Panchayati Raj matters. State, District and Taluk or Bloc Associations of Panchayati Raj institutions have been established in a number of states. In Assam, Bihar, Madhya Pradesh, Madras and Mysore, Associations of Zila Parishads have been set up on a purely non-official and voluntary basis with an elected or ex-officio chairman. In Andhra and Gujarat a State Council or Chamber of Panchayats has been

/set up by



set up by the Government with the Presidents of these bodies and a number of official members. Some of these State Chambers of Panchayati Raj bodies are affiliated to the All India Panchayat Parishad. These Parishads/Chambers are representative of Panchayati Raj institutions. Their functions are to bring together Panchayati Raj bodies on a common platform, to represent the difficulties experienced by them to the Government, to assist the latter in formulating and implementing policies in relation to Panchayati Raj, to undertake study and research and to organise training programmes for both the elected members and officials of Panchayati Raj bodies.

In a few States associations of Panchayati Raj bodies have been established at the District and Taluk levels with similar functions.

Professional or staff associations of local government employees have not yet been organised on a significant scale in India. In Madras and Andhra associations of local government employees of the clerical and manual grades were set up recently. These have not yet been recognised by the Governments. The aim of these associations is primarily to protect and advance their service interests and they are only incidentally concerned with the betterment of local government.

/XI. Major

## XI. MAJOR PROBLEMS

This rather long paper may conclude with a recapitulation of the main problems to be faced in any effort to create a healthy and viable system of local self-governing institutions in India and some suggestions as to the ways and means of meeting them. The main problems relate to: (i) Personnel; (ii) Finance; (iii) Administrative guidance; (iv) Technical Assistance; and (v) Areas, sense of community and civic consciousness.

In the field of personnel the most important problem to be tackled is that of leadership. It is obvious that no democracy can function without competent, honest and dedicated leadership. In the social background of Indian villages which are yet heterogeneous and caste-dominated, and very largely illiterate, and the economic background of low agricultural productivity and incomes at bare subsistence level, could this leadership be found? It is suggested that making village life infinitely more attractive than it is at present by an increase in economic opportunities and the amenities of living are pre-conditions for the emergence of such leadership. The migration of the elite of the villages to urban areas and the proletarianisation of the rural areas have both to be prevented. It should be emphasised that the stationing of petty functionaries of the departments of health, education, agriculture, or revenue collection in villages can hardly be a substitute for a natural growth of

/village . .

- 10 -

village leadership from the social milieu of the village itself. Other problems are the avoidance or at least the mitigation of factions and feuds that have been endemic in villages. An immediate practical step would be, programmes of education in civic affairs and in local administration for elected councillors and chairmen of local authorities.

Fundamental as the leadership of the people in elected bodies is, it is equally important that these bodies even at the lowest level should have full time paid employees to do their day to day work of maintaining accounts, supervising the execution of works, etc. The competence and integrity of the officials of local authorities should be assured.

The means by which these objectives could be secured are:

- (i) the adoption of well tried practices of personnel administration in regard to the recruitment and conditions of service, which should be equated to those of the State services in regard to emoluments, prospects of promotion and other conditions of service.
- (ii) Professionalisation of the services of local authorities through staff associations and the development of an esprit de corps and a professional ethic of local employees of different categories and
- (iii) A comprehensive training programme for the employees of

/both urban

and rural local authorities of all categories. This is a matter of vital importance.

In the realm of finance the central problems are to endow local authorities with a solid financial base of their own so that they could retain their autonomy. This is not to say that they should live of their own. That is manifestly impossible. But they should be able to live of their own if they choose. This is not an impossible objective in the long run and the key to it is rapid economic and social development. Steps that are needed are: (i) efforts to induce local authorities to exploit to the maximum the tax and non-tax resources assigned to them; (ii) the assignment to them of additional and suitable sources of revenue than they have been provided with in preference to grants; (iii) the creation of independent loan agencies by the cooperative effort of local authorities themselves for financing local remunerative enterprises and public works; and (iv) the evolution of a grants-in-aid code based on the principles of equity to secure minimum standards of local public services throughout the country.

Central assistance in the field of finance should further include assistance in tax administration, accounting, and the timely and regular audit of accounts of local authorities, not merely in terms of accountancy, but also in terms of performance.

/Local authorities

Local authorities would need administrative guidance and counsel in their initial stages. This should be different in quality from what has been available to them in the past and should be informal and continuous and through personal consultations rather than by administrative circulars and letters. The machinery for such advice and guidance needs to be reshaped or created a new and the personnel for it should be specially chosen for their sympathy, understanding of the problems of local democracy and competence and should be specially trained for the job of guidance. In this context mention may be made of the Directorate of Supervision and Guidance set up in the Punjab staffed by specially trained personnel and constantly visiting local authorities and providing them with field guidance on their day to day problems and procedures. The Directorate has no coercive authority and is intended to help them to develop into sound and efficient institutions. There should be less use of the punitive powers of the centre and greater reliance on preventive action. There should be no interference with local autonomy and a constant endeavour should be made to bring new knowledge and techniques to local authorities through such guidance.

As local authorities begin to concern themselves actively with development, the need for technical assistance in planning and the implementations of plans would increase. On the municipal side for instance the services of architects, town planners, /surveyors

surveyors and assessors, budget specialists, tax administrators, and industrial advisers and on the rural side experts in land utilisation, agriculture, animal husbandry, veterinarians, medical personnel and educational experts and engineers would be required in greater measure. The services of such experts should be made available to local authorities in adequate measure for advice and assistance.

(iv) Finally the problem of civic education may be mentioned. On the rural side the areas of local authorities have been newly defined. The sense of a community of interests of these new areas has to be considerably strengthened in the case of the villages and created anew in the case of areas of the Samities. This can be done only if the Samiti headquarters develop into service centres, which they are not in many cases. A sense of community is an essential base of local self government. It may be that the areas of the blocs may have to be redrawn in the light of needs, psychological as well as economic.

A second problem is to arouse the masses of the Indian villages from their "pathetic contentment" and general indifference to public affairs and to infuse in them both a greater sense of community with the people living in a neighbourhood and of civic responsibility.

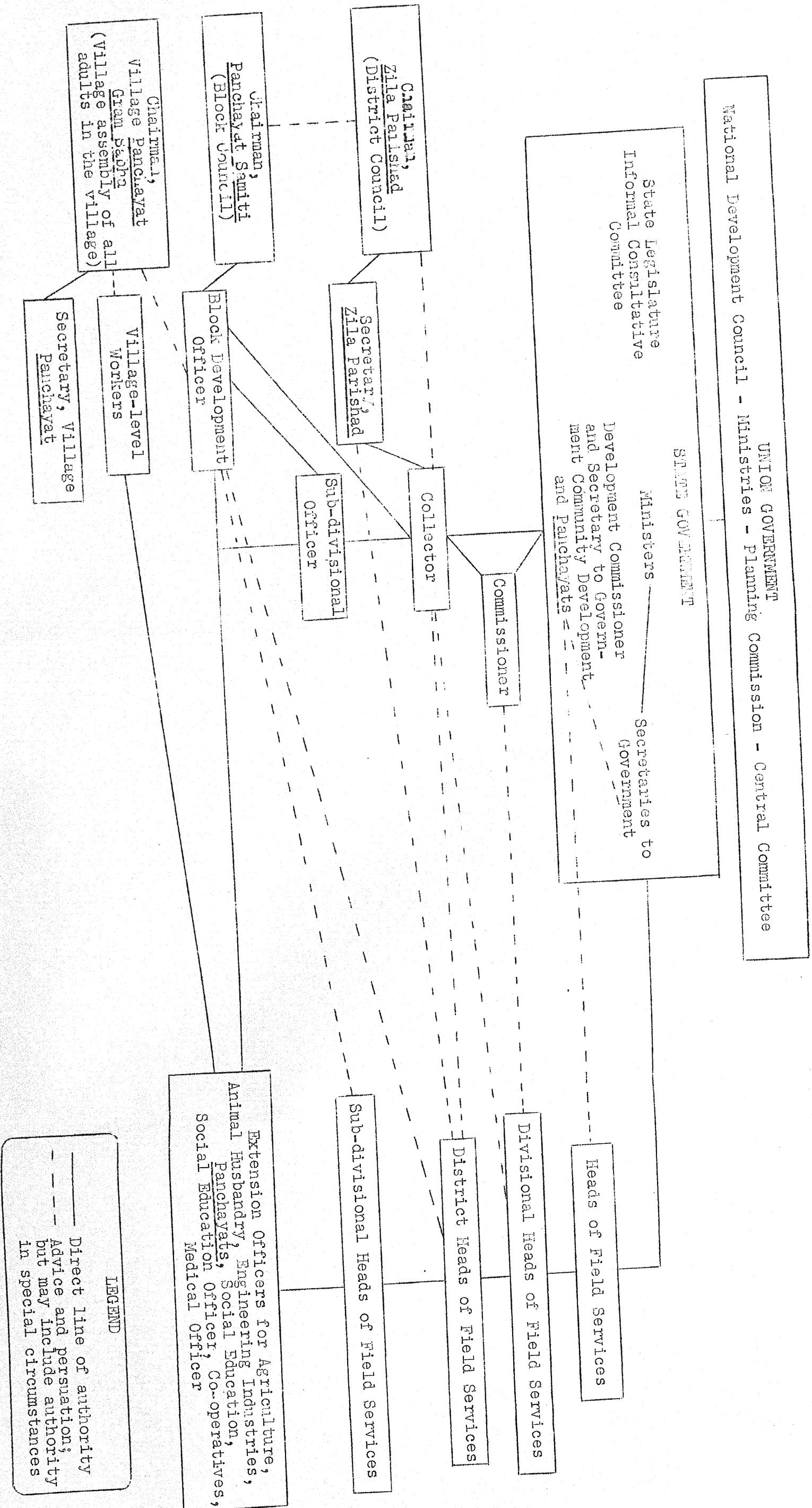
#### ANNEXURE

#### Panchayati Raj Organisation Chart

un/kkg.



# RELATIONSHIP BETWEEN GOVERNMENT, LOCAL AUTHORITIES AND FIELD AGENCIES IN INDIA





FOR PARTICIPANTS ONLY

CSLA/10 CSLA/S/S

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INDRAPRASTHA ESTATE  
RING ROAD  
NEW DELHI (INDIA)

# CENTRAL SERVICES TO LOCAL AUTHORITIES IN AFGHANISTAN

## I. INTRODUCTION

This paper is intended to explain briefly the pattern of the Afghan Central Government with more emphasis on local and district governments, with reference to historical indications and to trace the evidences which caused the development of the present pattern. It will deal with internal communications from the Central Government to the district governments, the organization and relationship of field units to local authorities, and the pattern of local governments for rural and metropolitan areas. Some general remarks about other aspects of administration such as, general administration specialised services and standards of recruitment and personnel management for local governments are also briefly discussed in this paper.

Before going into these topics a brief history of the country for purposes of background will be presented first.

1.

Whether Afghanistan is a part of South Asia or a Sector of the Middle East has always been a matter of controversy. If we look at the history of this country, land locked in the heart of Asia, we discover that it is involved with both part of the continent. The history of the sub-continent of India is intimately linked with that of Afghanistan. Before the ocean routes to India were discovered by the European Colonial Powers during the 16th and the 17th centuries the famous Khyber Pass was the only gateway of invasion to that country.

The history of the Middle East is not complete without us as well. During the past centuries we were several times invaded by the Persian Empire and many a time Persia had been conquered by the Afghans. During the expansion of the Islamic Faith, Afghanistan became the victim of the Arab invasion.

Afghanistan has been central knot and an independent entity for thousands of years. European Colonial Powers particularly the British invaded the country many times and tried to amalgamate the country as part of India. All their efforts, however, failed and British military power suffered crushing defeats on several occasions. One thing was accomplished by these invasions and that was the deprivation of the country from the open seas.

The British interference in Afghanistan not only kept the country extremely isolated from the rest of the world but it had far reaching negative results over the social, political and economic life of the people. With the gaining of complete independence in 1919 Afghanistan

/emerged as a

emerged as a backward and underdeveloped country. Upto that time the administration of the country was based entirely on Feudal System. All provincial governors were directly responsible to the King. They were assigned and fired by him. Constitution and law was absent and the administrative regulations were based on tradition and the Koranic Laws.

Despite the fact that the government was centralized the difficulties of communication and transportation created a decentralized situation. The governors had absolute authority and a strong hand in the administration of their respective provinces. Only a limited amount of provincial revenue was sent to the National Treasury.

Local Governor and other local officials were appointed by the provincial governors and the provincial governors then were always watchful of the strength of the central authority. In case of any indication of weakness on the part of the King they would announce themselves as Kings and would try to dislodge the central power.

After independence all efforts were made to eliminate the feudal system and introduce improved methods of administration. This was not an easy task.

During this period the concept of a Cabinet was introduced for the first time. A Prime Minister was selected by the King and several ministries were established. The country was divided into several provinces and the provinces were sub-divided into district and local governments. Despite all these reforms the Ministry of Interior was

/still under

still under the direct supervision of the King.

In 1928 a civil war which had lasted for nine months was terminated and the new government under the leadership of His Late Majesty Mohd Nadir Shah renewed the efforts towards development in every sphere of life. Constitutional Government was established for the first time. A constitutional Convention comprised of representatives from all over the country was invited to draft a new constitution. The constitution that was finally adopted called for a separation of powers. The powers were vested in the three usual branches of the legislature, executive and judiciary. Since then great strides have undoubtedly been taken towards a steady progress.

More recently when Premier Daoud resigned his post as Premier the new Government under the leadership of Dr. Moh Yusuf has launched expanded programmes embracing all phases of government activities with particular emphasis on constitutional reforms. A Committee has been appointed to study the constitution and draft a new constitution on democratic lines. When the committee completes its work the draft will be submitted to a Constitutional Convention for final approval.

With this brief background of history we shall have a clear look at the structure of the organization which is directly concerned with local government.

As it was mentioned before the Government of Afghanistan is Constitutional Monarchy and is operated on a centralised system. The country at present is divided into seven major provinces.

## /2. General description

## 2. General description of internal communications

As mentioned before Afghanistan is a Constitutional monarchy. According to the Constitution (1) King is the symbol of National Unity (2) He is the Chief of the State (3) He gives ranks and titles and medals (4) He appoints and removes Prime Minister and other Ministers (5) He can approve and veto all laws passed by the Parliament (6) He looks after the enforcement of laws (7) He can declare war and make treaties (8) He has the right of amnesty. These articles show that His Majesty is the Head of three (legislative, administrative and judicial) powers. The chief of the executive branch of the Government is the Prime Minister. The Prime Minister is assigned by the King with the approval of the National Assembly. He in turn assigns Ministers with the consent of the King. The Prime Minister is assisted by two deputies (1) First Deputy (2) Second Deputy.

The Cabinet is composed of 15 Ministers. The fifteen ministers are:

- (1) Ministry of Foreign Affairs (2) Ministry of National Defence
- (3) Ministry of Finance (4) Ministry of Interior (5) Ministry of Public works (6) Ministry of Education (7) Ministry of Justice (8) Ministry of Mines and Industries (9) Ministry of Health (10) Ministry of Commerce (11) Ministry of Agriculture (12) Ministry of Communication (13) Ministry of Planning (14) Ministry of Press (15) Ministry of Tribal Affairs.

## 3. Broad pattern of Central Government and Federal and State Government

In previous sections it was mentioned that Afghanistan

/for thousands of

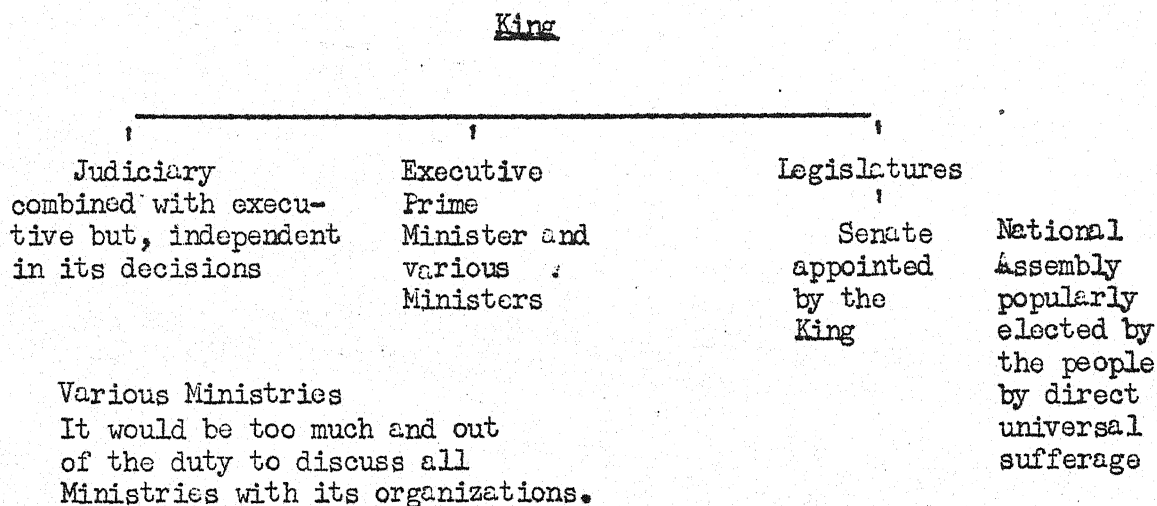


for thousands of years had always been the centre of different kingdoms.

Its pattern of Government had always been a central one. In spite of this Afghanistan has never had any sort of decentralized or federal system.

If the Governors had an absolute authority over internal affairs of their relevant provinces, it was because of poor communication and transportation and other means of connection between the central and provincial governments.

The following chart will give a picture of the structure of the Central Government.

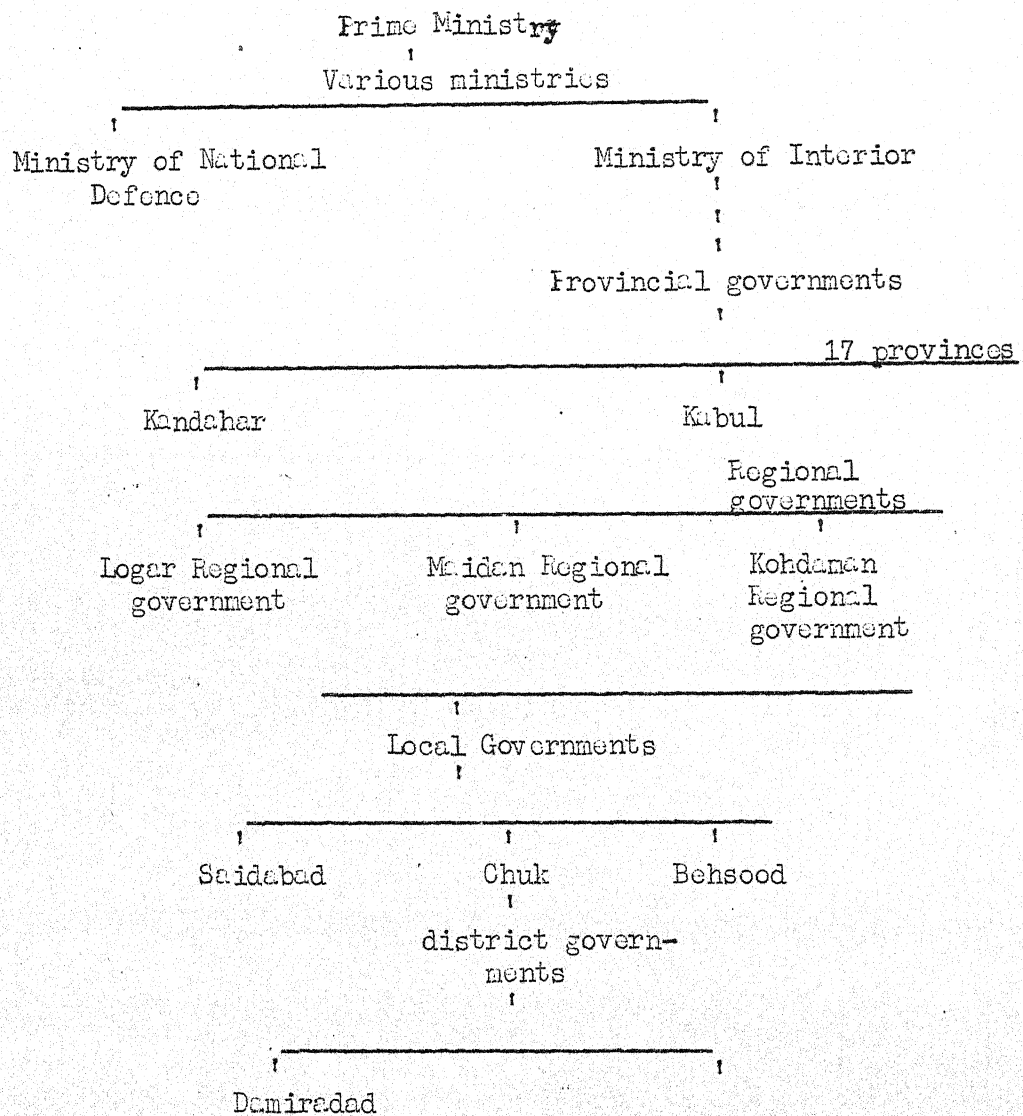


Ministry of Interior is the central head quarters of all provincial, county, local and district governments.

Here is a chart of province, county, local and district governments that are working under the auspice and sponsorship of the Ministry of /Interior. This



Interior. This shows the channel of internal communication between the various levels of the governments:



#### 4. The pattern of Local Government.

##### Rural areas:

The smallest unit of administration which is out of the hierarchy of formal

heirarchy of formal organization in the village administration heading by a person elected by the villagers. This chief of village administrators had a strong hand and authority in the settling of many local problems and disputes during the old feudal system. They still solve some small disputes without going to the smallest unit of formal organization (district government).

Kabul Province

Paghaman second grade local government	Second grade local govern-ment of Chordah	Kohue-mua regional govern-ment	Naidan regional govern-ment	Logar regional govern-ment	Administrative department	Attorney	Detection Department	Statistics	Inspection Department
Cherasrab second grade district government					Dezhubz fourth grade local government			Sarobi fourth grade local government	
Murlin second grade district government				Julriz second grade district government					
Saidabad second grade local government				Ghur third grade local government				Behod first grade local government	
Jaghato second grade district government				Lamirad first grade district government				Behod first grade district government	

It is worth mentioning here that these village administrators though they are the remnants of the feudal system they are considered as the root of the local administration. They serve as liaison between the people and the formal organization. The authority and jurisdiction of village administrators (called Maliks) vary. One Malik might be the chief of only one village while another might be the chief of more than one village. The next higher step from the village administration is the district organization which is the lowest unit of the formal organization chart. District organization is composed of several village administrators. The jurisdiction of district governments are not equal. It is divided into two grades; (1) first grade district government (2) second grade district government. The only difference between these two grades is that; the first grade district government has more jurisdiction and more population than the second grade district government. The Maliks are generally elected on the basis of heredity. Their fathers and grand fathers were maliks and so forth. The same was true with the district and local governors.

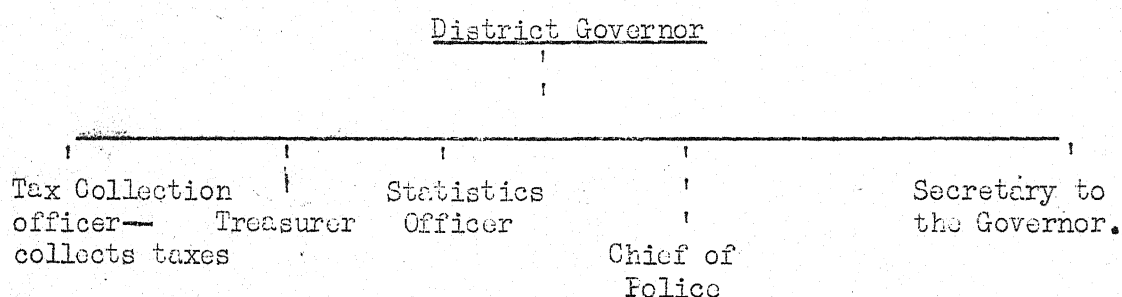
In the case of Maliks their decisions are based on arbitration and customary laws provided that these decisions do not violate Islamic and Codified laws of the country. These arbitrations and customary laws vary from region to region. There is no definite organization in the village administration. A Malik is an organization by himself. With the advancement of education and with the development of formal organization, village administrators are gradually losing their influence.

/In some federal

In some federal states such as the U.S.A. villages have a police (called the village police) for the security of the village and is paid by the village. In Afghanistan there is not any village police. District Government and local government police are responsible for the security of the whole district or locality.

Since our basic topic of discussion related to the district and the local governments organizations and their duties, we shall turn our attention to them.

Here is a chart illustrating this organization:



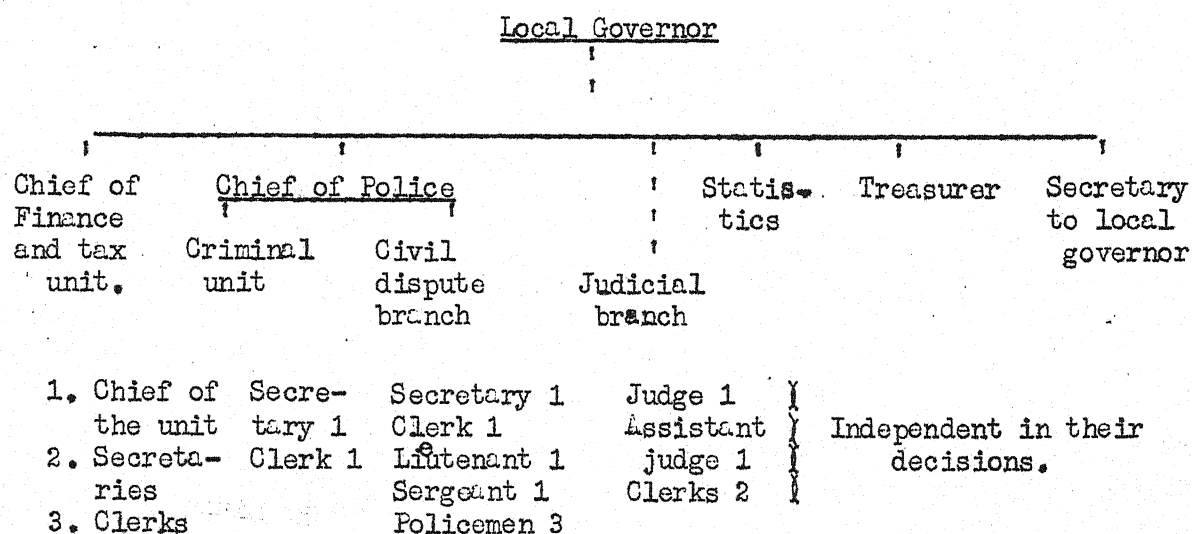
(Here are around 20 policemen for security  
of the district).

If we look carefully to the Chart we will find out that there is not any judicial branch. All judicial problems are sent to the next higher unit that is to the local governments. Only small misdemeanours are left to the district governments. Other criminal problems are handled by the local governments.

Local Government : This is the next step from the bottom in the formal organization. This is a basic organ in the formal organization

/from the viewpoint

from the viewpoint of science administration. Because, generally speaking all the laws and regulations are enforced in this level. All civil and criminal basically start from this level. In order to have a better idea about the local governments it is the right place to draw a Chart of organization of a typical local governments:



Local Governor is the chief of the whole locality. He is a coordinator of all branches of the local government. Local governments according to population and area are divided into four grades. The appointment and removal of the first two grades governors is with the proposal of Ministry of Interior and approval of the Prime Minister. The appointment and removal of the third and fourth grade governors is either with the proposal of relevant provincial governor or the Minister of Interior. It does not need the approval of the Prime Minister. Efficient local governments always bear the prosperity of the locality. Local

/governments are

governments are not composed of more than three district government.

Urban areas: In Afghanistan only few urban or metropolitan areas are under the jurisdiction of the local governments. Municipalities rarely exist in local governments. Afghanistan is a sparsely less populated country. The concentration of population is only in large cities, where factories and other plants are generally inside or around the large cities. Only very few local governments handle municipal affairs. In those local governments, where there are municipalities, all municipal affairs are controlled by the local governments. In the U.S.A. the municipalities inside the country governments are independent in their internal affairs, only there is a kind of policy cooperation about criminals among them. In Afghanistan since have a Central Government, local and regional governments therefore have a direct hand in municipal affairs and are subordinated to the local and regional governments.

As it was mentioned previously the Ministry of Interior is responsible for general control, support and development of local governments. The orders of the Ministry of Interior follow the channels of command in the formal organization. The Ministry is on the top of the pyramid for internal affairs and is a policy making body. It is composed of different departments and bureaus, such as statistics department, planning department, administration department, legal department, municipal department, land distribution department, various police bureaus .... and so forth. It is the duty of these departments and bureaus to provide personnel, supplies, equipments and means to all the local governments. The control of  
/performances and



performances and activities are checked and controlled by the inspection department of the Ministry of Interior. In some cases the interferences of the Ministry of Interior are done through the formal channels of command, in cases such as inspecting a regional or some urgent and important local or district governments is done directly from the Ministry of Interior. Similarly from the bottom of the formal organisation any request on the part of the regional, provincial or local government, the Ministry of Interior should follow the channels of command. Very few and less important cases and problems of developments are left to the discretion of the local governments.

5. In Afghanistan, generally speaking, field organizations are not under the direct authority of local governments. They are sponsored, supervised, guided and controlled by their respective ministries and departments from Kabul. There is a sort of cooperation and coordination between the local governments and the field organizations. Local governments also try to make the conditions available for the activities of the field organisations. For example, the teams of petroleum survey, in a province, region or a local government are called field organizations of the Ministry of Mines and Industries. The Ministry of Mines and Industries controls, supports all the activities of this field organization. The local governments only try to have existing conditions available for it. No formal relationships, but informal relationships prevail among them. For example, local governments are responsible for the security of members of field organizations and so forth

#### /6. Local Government

## 6. Local Government services

a) General administration: In local governments are general services not specifically given to the discretions of the Ministry of Interior, provincial governments and regional governments and not denied to them are in the dsicretions and authority of local governments. Such services generally include tax collection, planning and so on.

b) Specialized services: The provisions of section (a) of article (6) is true in this case too.

In Afghanistan specialised services are rarely done in local governments. Because Afghanistan is a less developed country and specialised services are rarely done in local governments, the only specialised services done in local governments are the construction of roads between villages, welfare and to a lesser extent public health and public education.

## 7. Central services to local governments.

a) Some ministries and departments of central governments have field units under the jurisdiction of local and regional governments. For example if we have a look at the organization of local governments (previously mentioned) will find that the judicial and financial are the field units of their relevant ministries in the local governments. Its staff are appointed and removed by their relevant ministries. But from administrative point of view they are under the authority of local governors. In regional governments these units are not seen. In provincial governments these organizations are established on a bureau

/level. This is

level. That is why it was stated previously that local governments and provincial governments are the basic organisations in the Ministry of Interior.

b) Research and training institutes are never existed in local governments. As mentioned previously staffs for rural governments are trained in the centre of their relevant ministries. We do not have any Central Civil Service Commission in Afghanistan. All ministries and large departments have their own administrative departments which have the duties to maintain standards of recruitment and exercise general personnel management. These departments also take care of promotions, transfers, training, retirements and so on. In many federal governments local authorities, besides its own budget, receive financial assistances from federal governments. These assistances by passed to the state or provincial governments. These assistances to local authorities by the central governments are called grants-in-aid. These kinds of assistances are seen much more in the U.S.A. These kinds of assistances are offered generally for the good of general welfare such as; construction of airports, highways and sanitations. In Afghanistan grants-in-aid are never offered. All local governments and authorities should have its performance on their budgets appropriated by their relevant ministries.

c) Administrative affairs of the local governments are inspected by the inspection departments of the Ministry of Interior and the Prime Minister's office. But the financial affairs of local governments are

/audited by the

audited by the Prime Ministry-General Accounting office.

8. Government Policy & Relationships of Ministries about the local services.

In recent years Afghan Government has paid special attention to the development of local authorities. A good example for this development is the rural development project guided under the Independent Department of Rural Development. The main purpose of this project is to introduce reform and the improvements in various fields in villages and other rural areas, such as, better housing, better school system, sanitation and public health, better animal husbandary and so on. This project is not subordinated to the local governments. Local governments have the duty to prepare facilities for the improvement of this project. This and other projects similar to this do not cause any decentralisation but they are directly guided and supervised by its central department in Kabul.

In provincial governments level many field units are observable. For example in a provincial government headquarters these field units are seen:

(1) Agricultural unit (2) Financial Unit (3) Education Unit (4) Judicial Unit (5) Communication Unit (6) Unit of Mines and Industries (7) Unit of Public Works (8) Press Unit (9) Public Health Unit.

The cooperation and coordination of these units of different ministries cause a relationship between these ministries. These field units in various provincial governments are in charge of their duties in that province. They plan and make decisions about their relevant projects and send their recommendations to their relevant ministries.

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THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
INDRAPRASTHA ESTATE  
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NEW DELHI (INDIA)

## CENTRAL SERVICES TO LOCAL AUTHORITIES IN CHINA

### Basic Data

1. Factors of history and human geography affecting the pattern of decentralization.

Having seen the Corruptive Manchu Administration in its latter part resulting in repeated attacks western powers, Dr. Sun Yat-sen who is today called Father of the Republic of China, led a revolutionary movement aimed at overthrowing the Ching Dynasty and establishing a government of the people, for the people and by the people. A system of local self-government was so initiated by the Ching Dynasty in an attempt to soften the then prevailing revolution trend spread every where in the Nation. It, however, was not successfully carried out due to the fact that the Manchu government was soon perished.

Ever since the establishment of the Republic, owing to the vast land and the inconvenience of communications with the boundary provinces, progress of local self-government and establishment of democratic system have been very much hindered by the seizure of many warlords. Subsequent to the will of Dr. Sun Yat-sen, Generalissimo Chiang Kai-shek, now President of the Republic of China, led, since 1926, the nation striving for the unification of the whole country on the one hand, while, on the other, no efforts had been spent on the realization of local self-government.

/After the



After the victory through eight-year fighting against the Japanese aggression, the first session of National Assembly met on November 15, 1947 which created the Constitution of the Republic devoted to carrying out democratic system in our country. However, the idea to exercise local self-government was once again idled because of Reds' rebellion.

Since the removal of the Central Government to Taiwan in late 1949, the democratic government of all levels within the scope of Taiwan Province have been set up to carry out local self-government so as to experiment Dr. Sun's political ideal.

Now it has been 14 years and it is generally accepted that spirit of freedom and liberty of a democratic government is being fully developed.

## 2. Broad pattern of Central Government

The setup of administrative system of Republic of China was based on the will of Dr. Sun Yat-sen, who had, during his life-time, advocated the balance of power and demarcation of power and right. He interpreted "balance of power" being not centralization of power in the central government nor division of power in local government. Endeavors of nation-wide interest should be referred to the Central Government whilst matters related to a limited area should fall in the jurisdiction of a province and so is true with the Hsieh (or Magistrate). As to "demarcation of power and right", Dr. Sun defined, "Right belongs to the people and power the government". Right is in the political field which includes Election, Recall, Initiative

/and Referendum;



and Referendum; power regards administration which covers Executive, Legislative, Judicial, Examination and Control.

A brief summary of the elementary status pertaining to Central Government and local government is listed below:

(1) National Government (Central Government)

The Chinese governmental system is the product of Dr. Sun Yat-sen's conception of a five-power constitution and stands somewhere between the cabinet system and the president system of government. Based on the Constitution the Central Government of the Republic of China is composed of the National Assembly; The president and five yuan, namely, the Executive, the Legislative, the Judicial, the Examination and the Control Yuans.

(2) National Assembly. It is composed of 3045 delegates, they are directly elected by the people from each county, municipality, area of equivalent status, occupational bodies and women's organisations. The functions of the National Assembly are election and recall of the president and vice-president and amendment of the constitution.

(3) President and vice-president. The President, as the head of the state, represents the country in foreign relations. All acts of the state are conducted in his name, such as commanding the land, sea and air forces, declaring war

/and making

and making peace, and appointing and removing civil officials and military officers.

(4) Executive Yuan. The Executive Yuan is the highest administrative organ of the government. The Premier and the vice premier are nominated and appointed by the President of the Republic of China with the consent of the Legislative Yuan. He takes over all responsibility for government administration. The Executive Yuan is composed of the Ministry of Interior, Ministry of Foreign Affairs, Ministry of National Defense, Ministry of Finance, Ministry of Education, Ministry of Justice, Ministry of Economic Affairs, Ministry of Communication, the commission of Mongolian and Tibetan Affairs and the commission of Overseas Chinese Affairs.

(5) The Legislative Yuan. It is the highest legislative organ of the state, composed of popularly-elected member to exercise the legislative power on behalf of the people. Members of the legislative yuan are elected by universal, equal, direct suffrage and by single and secret ballot. It has a president and a vice president elected by and from among the members of the Legislative Yuan.

(6) The Judicial Yuan. The Judicial Yuan is the highest judicial organ of the state. It has charge of civil, criminal and administrative cases, and of cases concerning disciplinary

/measures against

measures against public functionaries. It interprets the constitution and has the power to unify the interpretation of laws and orders. It also has the authority to interpret laws and to handle suits arising in connection with elections. The president and vice president of the Judicial Yuan are nominated and appointed by the President with the consent of the Control Yuan.

(7) The Examination Yuan. The Examination Yuan is the supreme organ of examination throughout the country. Its functions deal with personnel administration. It has charge of competitive examination, recruitment of public functionaries, determining their qualifications for proper ranking and promotion, checking their service records, fixing salary scale, and handling all matters relative to placement, transfer, demotion, discharge, service security, awards, commendation, pensions and retirement. The president and the vice president and a member of commissioners of the Examination Yuan are nominated and appointed by the President of the Republic, with the consent of the Control Yuan, for a term of six years.

(8) The Control Yuan. The Control Yuan is the highest organ of control in the State. It exercises the powers of impeachment, censure against public functionaries of the National

/Government and

Government and Local Governments, and proposes corrective measures for executive actions. The members of the Control Yuan are elected indirectly by, and from the provincial and municipal councils. The allocation of seats in the Control Yuan is as follows: five for each province; two for each municipality; eight for the Mongolian leagues and banners; eight for Tibet and eight for Chinese residing abroad. The president and the vice president of the Control Yuan are elected by and from among the members of the Control Yuan for a term of six years.

### 3. Board Pattern of Local Government

According to the Constitution the local governments in China are divided into two levels. They are the provincial government (municipalities under the Executive Yuan) and the county government (municipalities under the provincial government). But the town-ships or districts are now also empowered as the third level government of local government in Taiwan Province.

(1) The Provincial Government. The provincial government is administered by a council of 7 - 11 members of provincial commissioners under a governor, who is appointed by the central government among the provincial commissioners. The provincial government is composed of the departments of civil Affairs, Finance, Reconstruction, Agriculture and Forestry, Education, Police, Communication, Public Health and Social Affairs. It administers all civil affairs within the

/boundaries of

- 7 -

boundaries of the province in accordance with the laws and orders of the central government. It has the power to issue such ordinances and regulations, as are necessary for the administration of its affairs so long as they are not conflict with the laws of the national government. (Our provincial government differentiates from the system of the united states. The local government is empowered to exercise its authorities under the permission of Central Government). It has the responsibility to execute the assignments from the higher government, and to supervise and direct the counties and municipalities implementing local self-government under its authority.

(2) The Provincial Assembly. Each province has a provincial assembly. It is the highest provincial legislative organ composed of the members who are elected directly by the citizens of the counties and municipalities. Representation is determined by its population, with a minimum of one member for each county or municipality having a population of 150,000 or less. One additional member is to be elected if the balance of the excess reaches 75,000 or more. For aborigines, three seats are reserved with the election held on the island-wide basis. One woman member must be included when four or more members are to be elected from a county or a municipality. The tenure of their office is three years and may be extended by re-election, Taiwan Provincial Assembly was inaugurated on April 24, 1950. It is composed of 73 members directly elected by the people. The assembly has a speaker and a deputy speaker, to be elected

/ by and from

by and from among the members by an open ballot, when the assembly convenes, a report of the provincial administration shall be reported by the governor. And the members of the assembly has the right to question the governor and the heads of the various department.

(3) County and Municipal Government. Self-government of Taiwan is well-established. The county and municipal governments formed through popular election have the following duties:

- A. Promoting and planning for self-government in the areas concerned.
- B. Directing and supervising self-rule in townships and villages.
- C. Undertaking public health and elementary and secondary education.
- D. Executing the assignments from the higher government.

Each county or municipal government has a magistrate or a mayor. The magistrate and mayors are the heads of the county and the municipal governments respectively. He is elected and may be recalled by their constituents. Their term of office is four years and they may be re-elected once. The county or municipal government is composed of the bureaus of civil affairs, finance, education, reconstruction, police, and the secretariat, the conscription division, the security office, health office and tax-collection station.

Parallel to the county or municipal government there is a county or municipal council respectively. Members of the county or municipal council are elected by the people in its area and may be re-elected by them. The term of office is three years and re-election is permissible.

/It has a speaker



It has a speaker and a deputy speaker elected by and from among the members. Representation is determined by the county or municipal population. Every 10,000 citizens elect one council man but in the counties of Hualien, Taitung and Penhu every 5,000 citizens elect one. For aborigines every district elects one. Every ten members in the council shall include one seat for woman member. The council may decide on matters concerning county or municipal self-government but not valid if they are contradiction with the laws or regulations promulgated by the central government or provincial government.

(4) Townships and districts are not the legal units of administration in the constitution but in Taiwan Province they are empowered as the local governmental units for the purpose of trying to practice the local self-government. Every township or district has its council composed of the representatives elected by the people. The term of office is three years and may be re-elected. The members of the township or district council is determined by its population. Every 2,000 people elect one representative. Each township or district council is composed of no less than 15 members. Each township, district or municipality (under the county) has a head or mayor elected by its people. The term of office is four years. He is responsible for carrying out self-government and executing the assignments from the higher governments. The organisation of a township, district or municipality under the county is stipulated by the provincial government and approved by the Ministry of Interior.

/The heads of



The heads of various villages are elected by its people. The term of office is four years. Under the village there are neighborhoods. The heads of neighborhoods are also elected by people. They are responsible for convening the village meeting where they declare the administrative ordinances issued by the government and discuss their welfare. Every citizen attending the meeting has the right to explain his own opinion on the local affairs as well as the people moral standards in order to improve the public service and reach the goal of local reconstruction development. This is the basic meeting for local self-government.

#### Present Local Government Services

6. The department (bureaus) of Finance, Public Health, Education, Reconstruction and Social Affairs of the Provincial Governments (the municipal governments under control of the Executive Yuan) and the Bureaus of Education, Public Health, Reconstruction, Social Affairs and tax collection stations of county governments (municipal governments under control of the Provincial government) are now wholly operating under the orders of local authorities for:

- (1) General administration, e.g. planning, tax collection, etc.;
- (2) Specialized services, e.g. public health; education; public works; welfare, etc.

#### Central Services Provided to or Supporting Local Authorities.

7. Organization and functions of services such as the following

- (1) All the ministries of the central government always keep in touch with the local authorities in order to provide to or /support the

support the development of local services. When the local government is in need of help it may appeal to the ministries concerned for technical or financial assistance and administrative guidance.

- (2) The central government used to maintain standards of recruitment and to exercise general personnel management services for local government staff. The training program for our government officials has been well carrying out by the National War Collage, the most supreme central training institute, and by the Taiwan Provincial Training Centre which is in charge of training the local government employees and constantly gets help of finance or guidance from the central government.
- (3) The personnel department or division of different local government is, based on the concerning laws and regulations stipulated by the national government, and under the control of the ministry of personnel, in charge of the appointment and checking the service records of the public functionaries. No matter whether they are in the central government or in the local government.
- (4) The Ministry of Personnel, under the Examination Yuan, is in charge of the registration of public functionaries, checking their service records, determining their qualification for proper ranking and promotion, fixing salary scales, and handling all matters relative to placement, transfer, demotion, discharge, service security and retirement. But the training  
/program of

program of public functionaries is carried out by specially organized institute, it does not belong to the function of the Ministry of Personnel.

- (5) The general national budget of every fiscal year of the central government is schemed by different ministries in accordance with their practical administrative plans. The Department of Accounts of Executive Yuan compiles all the different budget together and send them to the Legislative Yuan for approval.
- (6) The local government may ask for financial assistance from central government if it meets special disaster, it plans to build a great public work or its area is so sterile that it is impossible to support itself. The Central Bank is responsible to provide with loan.
- (7) There is no association of local authorities in China but many cultural institutes or society are organized by the people themselves. They do their research work on the subject they are interested in.
- (8) There is no professional and staff association for local authority personnel.
- (9) Besides the Ministry of Interior constantly concerned with the improvement of local self-government, there are several cultural institutes studying the system of local government

/and

and occasionally presenting their proposals to the government for reference.

- (10) In order to make the local government support itself and balance in accounting the central government gives the financial assistance to the county abounding with sterile areas. The accounts and statistics department of provincial government takes charge of the forms of financial audit and supervision. But, in the central government, this responsibility is undertaken by the Ministry of Audit (under the Control Yuan) and it makes a general report about the government budget to the Legislative Yuan at the end of every fiscal year.

#### General

8. In the beginning of every year the central government works out "an outline of administrative plans of local government" in accordance with the National Fundamental Policy and the tendency of the development of local self-government. According to the above mentioned outline every local government makes its own administration plan with reference to the people's desire and practical necessity. If there is some dispute arising among the local governments in the field of their functions, it shall be settled by the upper government or by the supervisory agency.
9. Based on the provision in the constitution of the Republic of China, every ministry has its functions and has the authority to direct and

/supervise

supervise the local government administration. If some dispute arises in the field of its functions it shall be settled by the Executive Yuan.

10. The principle of local-self-government was first advocated by Dr. Sun Yat-sen. The system of local self-government is described in Dr. Sun's fundamentals of national reconstruction and prescribed in the Constitution of the Republic of China. Our government has been carrying out the self-government system in Taiwan Province since 1951. A considerable achievement has been made through the people exercising their right to manage the local administration. But some of the local governments are now faced with many problems such as housing, water and electricity supply, building elementary schools and transportation equipment, owing to the rapid increase of population, the social improvement, and the development of industry and commerce, because they do not have enough financial and natural resource to meet the need. The central government sometimes gives them technical help and financial assistance in order to improve the local government and make the society more prosperous.

/Asn:

FOR PARTICIPANTS ONLY

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UNITED NATIONS / EUROPA SEMINAR ON  
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21 October - 6 November 1963

Country Paper: Ceylon

By

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Deputy Commission of Local  
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THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
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- UNITED NATIONS EROPA SEMINAR ON  
"CENTRAL SERVICES TO LOCAL AUTHORITIES"

Country Paper - Ceylon

The Island of Ceylon lies a little north of the equator and to the South-east of India from which it is separated by Palk Strait, a shallow sea about forty miles in width. The island is pear-shaped, its extreme length from north to south is 270 miles and its greatest width from east to west 140 miles. It's area is about 25 thousand square miles, and the population is about ten million people. The island enjoys a great variety of climate owing to differences in rainfall and elevation. It is dependent for rains on the north-east monsoon from October to March and the south-west monsoon from April to September. Next to India the nearest neighbours to Ceylon are the Maldive Islands to the west, the Nicobar and Andaman Islands to its east and north-east respectively.

From as far back as 200 B.C. when the recorded history of the Island begins until the last King of Kand was dethroned in 1815 the Island flourished as an absolute monarchy. But even in those days there existed a system of Local Government the details of which are not quite known. However, it is known that a patriarchal system of Local Government existed in which the affairs of every village were directed and controlled by its natural leaders whose decisions were accepted and obeyed by the community in general.

Central Administration

The Government of Ceylon of the Maritime provinces, under the Dutch East India Company in the sixteenth century was entrusted to the Governor and Director-General with a political council consisting of nine officers. The territories were divided between Colombo, Jaffna and Galle the last two being administered by a Commander assisted by a Council. Dissawas appointed at Colombo, Jaffna and at Matara for Galle occupied much the same position as Government Agents of today. The Portugese system of local administration of Ceylon by Chief Headmen in charge of Korales, superior headmen over Pattus and village headmen over smaller areas was continued by the Dutch. After the British took over the country in the early

/part of the



part of the eighteenth century the Governor administered the country with the help of Executive and Legislative Councils. After 1910 the constitution of the Legislative Council was changed increasing the number of unofficial elected members and in 1924 the Legislative Council consisted of an unofficial majority. This was replaced in 1931 by the State Council to which full legislative and executive functions were given. The Council divided itself into executive committees each of which elected its Chairman and these Chairmen together with three officials formed the Board of Ministers though the officials had no votes in the Council or the Board.

When Ceylon became independent in 1948 the State Council was replaced by the Parliament of Ceylon consisting of the Governor-General, the Senate and House of Representatives based on the British pattern. Ceylon at present possesses a democratic Government where the executive consists of the Prime Minister and his Cabinet chosen from the party which has a majority in the House of Representatives. Ceylon is an independent nation within the British Commonwealth enjoying the same status as the other self-governing members of the British Commonwealth. For the purpose of general administration the Island is divided into twentytwo administrative districts. They are in charge of Government Agents under the Ministry of Home Affairs. The districts are divided into Divisional Revenue Officers Divisions of which there are 130 and these contain sub-divisions of about 4000 villages and hamlets each under a village Headman now called a Grama Sevaka. They are all Government officers having various duties in connection with prevention and detection of crime, collection of minor items of revenue, registration, licensing, assembly of statistics etc. Village Headmen are supervised by Divisional Revenue Officers, and the latter by Government Agents. The Government Agents also function as representatives of the Ministries and Departments who do not have independent local offices in the districts. In addition to the Government Agents there are also other local representatives of the Heads of Departments stationed in the various districts and responsible to their Ministry for the performance of their functions. The Government is giving active consideration at present to the constitution of District Councils to replace the Government Agents and other Local Heads of Departments, and vest their functions and powers in an elected council.

#### Local Government

In ancient times the population organised itself into village communities largely for the purpose of dealing with matters of water supply and tillage, but also to settle amongst

/themselves

themselves disputes about descent and proprietorship and with Royal officials questions of dues. These Village Councils of ancient Ceylon which were known as Gam Sabas do not appear to have been controlled or directed by the King or by any central authority. There were also larger councils known as Rata Sabas which dealt with matters affecting a whole district or Province. This organisation lasted through centuries of Ceylonese administration and through the subsequent periods of Portuguese and Dutch occupations, fell into disuse in the early part of the last century, but was revived by the British in 1870 since when attempts have been made to restore it to its former vigour to enable it effectively to deal with questions of tillage, irrigation, sanitation and settlement of minor disputes. At present there are 419 Village Councils and they exercise no judicial power as separate Rural Courts have been established for that purpose.

In 1802 a new system of Local Administration was created to administer small towns mainly in matters of sanitation. Such towns were brought under Sanitary Boards composed of both officials and non-officials in the district. These Sanitary Boards have now been abolished and Town Councils have replaced them.

In 1898 Local Boards were created for large towns and they generally exercised similar powers with regard to them individually as Sanitary Boards for small towns. These have now been replaced by Urban Councils.

Road Committees were set up under the Thoroughfares Ordinance in 1861, for each Province and district of the Island. A Provincial Committee was constituted consisting of the Government Agent as Chairman, and other officials and non-official members appointed by the Governor. For each district of the Island a District Committee was constituted consisting of the Government Agent as Chairman and other officials nominated by the Governor and some non-officials representing the communities of the Island. The charge and maintenance of Rest Houses other than those in the Municipal and Urban areas was vested in the Provincial Road Committees. They also supervised the District Committees. The District Committees had to deal with and supervise the work done on public, private and estate roads. These Committees were abolished in 1951 when the Public Works Department and the Local Authorities became the road authorities for the Island.

In 1866 Municipalities on distinctly British lines and with a majority of elected members was established in Colombo,

/Kandy and

Kandy and shortly afterwards at Galle. The most striking feature of this scheme is that the democratic principle is introduced for the first time by Statute into a Local Administration organisation. The constitution of the first Municipal Council of Colombo was based on the principle of representation plus nomination with a nominated Chairman having a casting vote. These have now been replaced by Municipal Councils with an elected Mayor as Chairman and all the councillors elected.

It would therefore be seen that at present there are four types of Local Authorities: Village Councils in rural areas, Town Councils for small towns or bazar areas, Urban Councils for large towns and Municipal Councils for very highly developed urban areas or cities.

The Councils of these Local Authorities are elected every three years. The franchise is a universal one (every citizen of over 18 years is eligible to vote) the qualification of a voter being the same as those applicable for voters for Parliamentary Elections. Representation is on the basis of Wards and voters elect representatives for their wards. The elections of the Councillors are conducted by the Commissioner of Elections. The Mayor in the case of Municipal Councils, or the Chairman in the case of the other Local Authorities is the chief executive officer of the respective Local Authority and it is his function to see that resolutions of the Council are speedily and efficiently carried out through the staff of the Council.

The Village Councils control a vast area of the country and out of a total area of (25 thousand square miles) about 200 square miles are administered by Municipal, Urban or Town Councils and the rest of the area is under Village Council administration. At present there are 419 Village Councils, 57 Town Councils, 34 Urban Councils and 10 Municipal Councils. Village Councils, although the least developed type of Local Authority, form the broad base on which the whole structure of local administration has been built. These Councils are constituted for areas consisting of one or more villages.

Town Councils have been established in small rural towns which by their development are urban in character. Their powers and duties are substantially similar to those of Urban Councils the main difference being, however, that Town Councils cannot impose or levy a rate of more than nine percentum. Further, the maximum number of members for a Town Council should not exceed eight.

Urban Councils have been established for important

/big towns.

big towns. The control exercised by Government for this type of Local Authority is a little less than over the Town Councils. Generally within the administrative area of each Urban Council it is charged with the regulation, control, and administration of all matters relating to public health, public utility services, public thoroughfares and with the protection and promotion of the comfort and convenience and welfare of the people and the amenities of the administrative area. The distribution of Urban and Town Councils in particular gives an indication of the urbanisation of the country. Colombo district apart from the Municipality of Colombo has the largest number of Urban and Town Councils.

At the very apex of the structure of Local Government is the Municipal Council, and this type of Local Authority is the most developed. The degree of control exercised by the Central Government over these authorities is small and Municipal Councils are therefore virtually autonomous.

From 1931, a Central Ministry of Local Government and a Department of Local Government with a Commissioner as its head was established for the purpose of supervising the administration of existing Local Authorities and for investigating and preparing and promoting schemes for the extension of Local Government in Ceylon. It is observed that with the creation of the Department of Local Government in 1931 the development of Local Government has been comparatively more rapid after 1931 than before.

#### Functions and Powers of Local Authorities

Local Authorities are independent statutory corporations, and their constitution, powers and duties as well as their areas of authority are provided for in the respective legislations which apply to them. The Commissioner of Local Government has certain statutory powers of supervision and control exercised mostly over the Village Councils. The Municipal Councils being more or less autonomous are supervised least. In addition the Commissioner of Local Government and his Regional Assistants are also entrusted with the task of advising and guiding the Local Authorities especially Village Councils whose financial and technical resources are limited. There are at present fourteen Regional Assistant Commissioner of Local Government, and it is hoped to have an Assistant Commissioner of Local Government for each administrative district.

The functions of Local Authorities are broadly the same:

/Generally to

Generally to promote the comfort, convenience and welfare of the people and develop amenities in the fields of public health, public utility services and public thoroughfares. These functions take the form of provision of water supply schemes, electricity schemes, street lighting schemes, housing schemes, construction and maintenance of roads other than trunk roads, provision of markets, conservancy and scavenging services, sewerage disposal schemes, maternity and child welfare clinics, milk feeding schemes, cemeteries, public baths and bathing places, free dispensaries, recreation grounds, parks, Rest Houses, libraries, fire brigades etc.

#### Finances of Local Authorities

The income of Local Authorities come from three main sources;

- (1) from rates levied upon the inhabitants of the area,
- (2) from rates, rents, fees and charges made for services rendered by the Authority,
- (3) from grants and refunds of license duties by the Central Government.

Rates are contributions required to be made by Occupiers of property in the Council area towards the expenses of local services provided in that area. The rates are imposed on the annual value of the property. This value is the net benefit which the occupier can be assumed to get by his occupation of the property. The law requires that this benefit is to be estimated by which a hypothetical tenant might reasonably be expected to pay for the property on a tenancy from year to year, the tenant paying the usual rates and taxes and the landlord paying the cost of insurance and maintenance. The Local Authority gets the annual value assessed by the Government Chief Valuer and is adopted by them usually once in five years.

Income from rents of Council buildings and fees for licenses are usually set off against the cost of the services provided.

Grants: The object of giving grants by the Central Government is to supplement the resources of Local Authorities so as to enable these authorities to provide services adequate to the requirements of the locality. A block grant or general purposes grant based on the population and the revenue collected from rates etc. is paid to all Local Authorities.

/Specific grants

Specific grants to meet a certain portion of the cost of water supply schemes, sewerage schemes, housing schemes, major bridges, village works, libraries, play grounds etc., are paid to local Authorities, the balance being contributed by the Local Authority itself.

Grants in lieu of abolished revenue are also paid to certain Local Authorities like Village Councils, e.g. when the Capitation or Poll tax was abolished a grant was given in lieu thereof. Grants in lieu of refund of stamp duties on land transactions and reimbursement of cost of living allowances and special living allowances paid to employees of Local Authorities are also given to the Local Authorities. Certain license duties collected by Government are also refunded to the Local Authorities, e.g. motor car licenses, gund licenses etc.,

Local Authorities can also raise loans from the Local Loans and Development Fund established by the Treasury at reasonable rates of interest for the purpose of undertaking any project which the Local Authorities are entitled to do.

#### Central Services Provided to or Supporting Local Authorities

The Commissioner of Local Government has at his headquarters a Civil Engineer, a Water Works Engineer to give assistance to Local Authorities especially Village Councils and Town Councils who do not have the financial resources to appoint technical officers of this status and qualification. Where a Local Authority wants any advice on a civil engineering work like designing or the supervision and construction of a major project the Civil Engineer and his Inspectors place their services at the disposal of Local Authorities. For instance when the Government meets the full cost of a major bridge in a Village Council it is a necessary condition of the grant that the design of the work should be undertaken by the Civil Engineer and the work constructed under his general supervision. Similarly, the Water Works Engineer designs and gets minor rural water supply schemes constructed under his supervision. Attached to the staff of the Assistant Commissioners of Local Government in the Regions are technical officers like Superintendents of Village Works and Draughtsman who assist Local Authorities especially Village Councils in preparing plans, specifications and estimates for village works like small bridges, buildings, Village Council offices and in supervising the construction of these works. Investigating Officers are also attached to the Regional Offices to check the books of accounts maintained by the Local Authorities especially Village Councils and also to advise the Chairmen where the need arises.

/Major water



Major water supply schemes for towns and cities are designed by a separate technical Department under the Ministry of Local Government called the Department of Water Supply & Drainage. The construction of these major schemes are done under the supervision of the Director, Water Supply & Drainage and his Engineers. Government also gives assistance to the Local Authorities in the construction of major water supply schemes by contributing as a grant the cost of the headworks of schemes and the Local Authority is expected to contribute towards the cost of the distribution by raising a loan from the Local Loans and Development Fund in the Treasury.

The Department of Town and Country Planning under the Ministry of Local Government provides assistance to Local Authorities by planning urban development schemes for towns and cities and regional planning schemes for developed areas. The Government Town Planner also prepares model plans for housing schemes to be undertaken by Local Authorities and through his Inspectors assists in the preparation of plans, estimates and specifications of slum clearance schemes, major housing schemes and exercised general supervision over the construction of these schemes. Surveys and investigations connected with the preparation of urban development schemes and regional planning schemes are undertaken by the Department of Town and Country Planning. Technical assistance is rendered to Local Authorities by this Department for the preparation of the planning schemes and zoning schemes which are adopted by the Local Authorities. Advice on the siting of housing schemes, principal buildings like Town Halls, civic centres, model libraries are also rendered to the Local Authorities at their request. On the completion of slum clearance housing schemes this Department in conjunction with the Department of Local Government assists the local bodies concerned in the selection of insanitary dwellings for demolition.

Experimental work on low cost house building materials and cheaper methods of construction are conducted by the Department so as to be of help to the Local Authorities in keeping the cost of construction down as low as possible.

The Department of the Surveyor-General under the Ministry of Lands assists the Local Authorities in preparing town surveys. These plans indicate in detail the boundaries of every allotment and property in the town area and the boundaries of the wards.

The Government Chief Valuer under the Ministry of Lands assesses all the properties in Local Authority areas for the

/purpose of



purpose of determining the annual value of these properties. The Local Authorities adopt these valuations after hearing objections in accordance with the law. Fees are paid by the Local Authorities on a certain percentage basis for this service. It is now proposed to bring new legislation to make it a statutory duty of the Government Chief Valuer to assess the annual value of properties for all towns where assessment tax is levied once in every five years.

As Local Authorities are statutory corporations their powers, functions and duties are defined by Statute. The Attorney-General who is the law officer of the Government is not in a position to advise Local Authorities in regard to the exercise of any of their powers, functions or duties. The Attorney-General, however, advises the Minister of Local Government or the Commissioner of Local Government in regard to the exercise of any power or function by any Government officer in relation to Local Authorities. The Attorney-General also will advise the Minister or the Commissioner of Local Government on any matter involving Local Authorities in general and whether any new legislation is necessary or not. On this advice the Commissioner of Local Government or the Minister will take steps to promote legislation on behalf of the Local Authorities in general. The Minister also will promote legislation on behalf of Local Authorities after considering representations made by any group of Local Authorities.

The Department of Local Government in consultation with the Legal Draftsman of the Government prepares model and standard by-laws which can be adopted by the Local Authorities if they so desire. Most Local Authorities do not have a legal branch in their offices to prepare subsidiary legislation. In fact it is only the Colombo Municipal Council that has a fully qualified legal branch under the Legal Officer. Before any by-law is approved by the Minister or Parliament the Legal Draftsman scrutinises them and if necessary revises them to see that they are in legal form and not 'ultra vires' of the powers of the Local Authorities. The revised by-law is usually adopted by the Local Authority concerned if it meets with the requirements of the Local Authority.

The Commissioner of Local Government and the Assistant Commissioners of Local Government in the Regions advise the Local Authorities especially Village Councils and Town Councils in regard to their powers, functions and duties and in what way the funds of the Local Authorities can be usefully spent. Where the finances of Local Authorities are not satisfactory there is provision in the law for the budgets of these Local Authorities

/to be controlled

to be controlled by the Commissioner of Local Government and his officers. In these cases the Assistant Commissioners of Local Government help and assist Local Authorities especially Village Councils and Town Councils in preparing their annual Budgets.

Assistant Commissioners of Local Government in the Regions organise periodically conferences and seminars of Chairmen of Local authorities especially Village Councils to enable different Chairmen and their Councillors to meet and exchange views and state their different problems in order to find suitable and practical solutions. On these occasions the opportunity is taken for various officials who deal with Local Authorities to give them talks on the various aspects of their duties. Accounting Officers, Audit Officers, Engineers and Inspecting Officers give useful talks at these conferences and seminars.

It is only the Municipalities of Colombo, Kandy and Galle that have Medical Officers of Health and other health staff as Local Authority employees. In the other Municipalities and in Urban and Town Councils the Medical Officers of Health are Government officers working under the Director of Health Services and loaned to these Local Authorities. The Local Authorities to whom the services of Medical Officers of Health are loaned bear no part of their salaries, but pay them only a small monthly travelling allowance. In the case of rural areas the Medical Officers of Health perform all their functions without being attached to the Village Councils concerned. The Director of Health Services has also loaned the services of Public Health Inspectors to certain Local Authorities while others have appointed their own officers. The Local Authorities bear only a certain portion of the cost of salaries and allowances of these Public Health Inspectors who have been loaned to the Local Authorities.

As the supply of electricity is one of the legitimate functions of Local Authorities most of the towns and cities and many of the villages have electricity schemes constructed and maintained by the Local Authorities concerned. The Government Electrical Department under the Chief Engineer & Manager of the Government Electrical Undertakings conducts preliminary investigations and prepares plans and estimates before any scheme is constructed by the Local Authorities. The Chief Engineer & Manager, Government Electrical Undertakings also assists the Local Authorities in supervising the constructions of these schemes, and generally acts as a consultant to the Local Authority in maintaining and running these schemes. Local Authorities pay a nominal fee to the Chief Engineer and

/Manager,

Manager, Government Electrical Undertakings. In Colombo, however, the Chief Engineer & Manager, Government Electrical Undertakings supplies and distributes all electrical energy to the consumers.

#### Acquisition of land

The Government under the Land Acquisition Act acquires compulsorily private lands for Local Authorities which require these lands for public purposes and vest these lands in the Local Authority concerned. By this process Local Authorities can obtain undisputed title to the land.

#### Employees of Local Authorities

The staff employed by Local Authorities fall into two categories:

- (i) Those recruited by the Local Government Service Commission (about 6300 in number) on terms and conditions fixed by it and appointed to posts in Local Authorities who pay their salaries and allowances.
- (ii) Those recruited direct by the Local Authorities totalling about 8000.

The Local Government Service Commission was established in 1946 to deal centrally with appointments transfers, disciplinary control of certain Local Authority employees. Uniformity in the method of recruitment and of the personnel recruited was thus established, and trained and experienced personnel were made available to all Local Authorities irrespective of their location or resources. The Local Government Service Commission consists of the Commissioner of Local Government, ex-officio Chairman and eight members nominated by the Minister of Local Government. Four of the members nominated are selected by the Minister from a panel of names submitted by:

- (i) the Municipal Council of Colombo
- (ii) Other Municipal Councils
- (iii) by the Urban Councils Association and Town Councils Association
- (iv) by the All-Ceylon Village Councils Association.

/The other

The other four members are nominated by the Minister at his discretion. The Commission is a corporation with perpetual succession and a common seal. Each nominated member holds office for a period of three years from the date of his appointment.

Holders of posts prescribed in the schedules of the Local Government Service Commission Ordinance and holders of all posts in Town Councils and Village Councils carrying a basic salary of Rs. 600/- per annum and over and in Municipal Councils and Urban Councils carrying a basic salary of Rs. 1,200/- per annum and over are members of the Local Government Service.

The Commission has full powers regarding methods of recruitment, conditions of employment, promotions, transfers, dismissals, interdictions, disciplinary action, conduct of examinations, classification of posts, fixing of salary scales and allowances, establishment of provident funds, establishment of awards and pension benefits and other matters connected with the administration and discipline of the service.

The salaries and allowances approved by the Commission are payable by the Local Authorities and it is their duty to give them employment and pay the salaries and allowances prescribed. The members of the Local Government Service are in a unified transferable Service. Those recruited on an area basis are transferable within that area only. The activities of the Local Government Service Commission are not confined to merely appointments, transfers and promotions of the members of the service. The Commission has also functions similar to those of the Treasury in regard to the Central Government public service. The Commission also determines the allowances and authorises payments for overtime, extra remuneration etc., of the members of the Service. Some of these powers can be statutorily delegated to Local Authorities and in certain cases this has been done.

The Local Government Service Commission also undertakes the training of officials who have been recruited into the Service. Post-entry training has been started recently and seminars and training classes have been held during last year for certain specific type of officers like Municipal Commissioners and Secretaries, Public Health Inspectors, Revenue Overseers and Works Overseers etc. Recently a new post of Assistant Secretary (Training) has been created in the cadre of the office of the Local Government Service Commission, and when this post is filled it is expected that more post-entry training classes for members of the Service would be held.

/AUDIT

## AUDIT

The Auditor-General is the auditor of the accounts of the Local Authorities in Ceylon. The Auditor-General is an officer appointed by the Governor-General and holds office during good behaviour and cannot be removed from office except on an address passed by both Houses of Parliament. He is thus an officer independent of the executive. Under the respective Local Authorities Ordinances the Auditor-General audits the accounts of the Local Authorities and if satisfied certifies the Balance-sheet and accounts for each year. The Local Authorities pay a prescribed fee for this service by the Auditor-General. For the purposes of any audit and examination of accounts the Auditor-General has the power to require the production before him of any accounts, deeds, contracts, vouchers etc., and may require any person holding or accountable for any such books, accounts, deeds, contracts, vouchers etc., to appear before him. The Auditor-General shall disallow every item of accounts contrary to law and surcharge the sum on the person making or authorising the making of the illegal payment and shall charge against any person accounting the amount of any deficiency or loss incurred by the negligence or misconduct of that person. An appeal lies to the Minister of Local Government against a surcharge by the Auditor-General. In some cases an appeal can also be made against a surcharge to the Supreme Court.

From this brief survey it would be seen that different types of Local Authorities have been constituted to perform local functions to suit different types of areas. Apart from the organisation of a form of Government to provide basic amenities to the local people of the area, Local Government is an opportunity for the ordinary people of the country to be trained in the democratic way of life. People who can elect representatives who are able, honest and upright to run their own village or town can be expected to elect suitable representatives to the national legislature to run the Government of the whole country. It is generally found that where a country has a strong and stable Local Government organisation it will adhere to the democratic form of Government at the centre even when persist through periods of stress.



History and Development

Municipal Councils in George Town, Penang and the Town and Fort of Malacca were the <sup>first</sup> form of local ~~local~~ government in about the middle of the last century. The Straits Settlements Municipal Act of 1857 gave legal framework to these Municipalities. Under their Constitution these Municipalities would have their Presidents and members formally appointed by the Government. With the extension of British protection to the Malay States after 1870 local government was in the form of local authorities known as Sanitary Boards (later known as Town Boards). These were set up in towns and urban areas and derived their legal authority from various Sanitary/Town Boards Enactments. They were under the direction of the respective District Officers in each State as ex-officio Chairmen. The Boards also consisted of other members formally appointed by the respective State Governments. In other parts of the Settlements of Penang and Malacca there were the Rural District Boards (later known as District Councils and Rural District Councils). They were similar in constitution to the Town Boards except that their areas of jurisdiction covered all administrative districts. Under the Municipal Ordinance of 1913 the Municipalities enjoyed a fair measure of financial autonomy while the other Boards were in fact departments of the State or Settlement Governments charged with the duty of carrying out administrative and executive functions to the extent permitted under the laws regulating them.

After World War II there were changes in the Constitution with the formation of the Malayan Union, and then the Federation of Malaya consisting of nine Malay States and the Settlements of Penang and Malacca in February 1948, which achieved independence on 31st August, 1957. In the course of events the need for more and improved services in the local authority areas was increasing and the desire for the development of local government aimed at local self-government through the medium of popularly elected councils or boards which enjoyed a large measure of freedom of action and financial independence became apparent. In March 1948 the Town Board of Kuala Lumpur which was then the most advanced Town Board

in the Federation of Malaya became a Municipality. The first step towards the goal of democratic self-government was taken by the passing of legislation known as the Local Authorities (Election) Ordinance, 1950, which provided for the election of a majority of members of Municipalities and a number of the large and medium size Town Boards thereafter styled as Town Councils. In 1952 the Local Councils Ordinance was passed and this made possible the establishment of Local Councils in new village areas formed during the emergency period and other rural areas including the smaller size Town Boards throughout the Federation of Malaya. These Councils are from their inception fully elected and financially autonomous.

In 1954 the Town Boards (Amendment) Ordinance was passed. This was a further development of local government for under its provisions power was given to the State and Settlement Governments to confer financial autonomy to some of the larger Town Councils, Town Boards and Rural District Councils in their States or Settlements.

On 1st December 1956 the Municipal Council of George Town, Penang, became a fully elected Municipal Council with a President elected from amongst its Councillors and a month later became a City (henceforth the President is known as Mayor).

In 1960 the Local Government Elections Act was passed. The Act vests the control of local authority elections except Local Council elections in the Election Commission which is an independent body. It also simplifies the qualifications of electors in such elections and changes the system of annual retirement of Councillors to triennial retirement. A similar legislation, the Local Government Elections (Amendment) Act was introduced in 1961. This Act gives the Election Commission control over Local Council elections.

The Federal Capital Act, 1960, which was enacted after the necessary amendments to the Federal Constitution introduced new features in the administrative machinery of the Municipality of Kuala Lumpur now the Federal Capital. The amendments to the Constitution also provided for the National Council for Local Government which was established in November



1960. Its aim is to unify law and policy relating to local government in the country. At present the number of local authorities in the country are as follows:-

Federal Capital	1
Municipal Councils	3
Town Councils (financially autonomous)	27
Town Councils (non-financially autonomous)	11
District Councils (financially autonomous)	4
Rural District Councils (non-financially autonomous)	3
Town Boards (financially autonomous)	5
Town Boards (non-financially autonomous)	31
Local Councils (financially autonomous)	286

The above figure does not include the States of Borneo and Singapore as under the Constitution of the Federation of Malaysia which came into force on 16th September, 1963, their Governments retain the full control over local governments in the respective States.

#### General description of internal communications.

Local Government is a State matter and the Federal Government is concerned only with the basic policy and law relating to local government and its development. With the exception of the Federal Capital of Kuala Lumpur which under the Federal Capital Act, 1960, is answerable to the Minister of Interior, all local authorities derive their existence and status from the State authorities and are directly answerable to them for the efficient discharge of their statutory functions. The day-to-day work of the local authorities is a direct responsibility of the respective State Governments. Therefore, the local authorities will have to communicate with their respective State Governments who, if they find it necessary, will refer the subject matter to the Federal Government for advice or any necessary action.

## The Broad Pattern of the Central Federal and State Governments.

The Federation of Malaya is a Federal system of Government consisting of Central Federal Government and respective State Governments. Legislative powers are divided between the Federal Parliament and the State Legislative Assemblies according to the list of subjects laid down in the Constitution and executive power in respect of any subject lies with the State Government which has legislative power in respect of that subject. Therefore, the legislative and hence the executive power in respect of local government lies with the State Governments. The Federal Government's power in respect of local government is limited. For the purpose of ensuring uniformity of law and policy the National Council for Local Government was established with the Minister of Interior as Chairman, one representative from each State appointed by the Ruler or Governor of the State and ten representatives (who are Ministers) appointed by the Federal Government. The duty of the National Council for Local Government is to formulate from time to time in consultation with the Federal and State Governments a national policy for the promotion, development and control of local government throughout the country and for the administration of any laws relating thereto and the Federal and State Governments follow the policy formulated. It is also the duty of the Federal Government and the Government of any State to consult the National Council for Local Government in respect of any proposed legislation dealing with local government for its advice on the matter. On the coming into force of the Federation of Malaysia the Governments of the States of Borneo and Singapore are not required to follow the policy formulated by the National Council for Local Government until such time as they have accepted the obligation to do so. However, they will be represented but will not be entitled to vote on any question moved in the Council.

## Broad Pattern of Local Government.

Local government in the Rural areas is mainly through the Local Councils. These Local Councils are the most recent form of local authorities in the country. Generally speaking they are responsible for local government administration of the smaller towns and villages in the Federation but they

vary considerably in size (from 2,000 to 16,000 population) and there are several which are distinctly rural in character. They are in many ways quite an advanced form of local authorities having been fully elected with elected Chairmen and financially autonomous from the outset. The District Officers of the Administrative Districts have advisory duties in the local authorities and have statutory control over their budgets and by-laws. These Councils raise simple forms of taxation and receive considerable measure of grants-in-aid. They carry out simple local government functions mainly in the fields of health and development of communications and water supply and rely heavily on Government Departments for technical services and assistance. There is no particular limitation on their range of powers, except that imposed by their financial resources, and many of the more enterprising and energetic Local Councils have developed a wide range of local services of great value.

All the medium sized towns in the Federation are administered by Town Boards or Town Councils. Up to 1950, these authorities were all Town Boards which were departments of the State Governments and their revenues were State revenue <sup>and</sup> their expenditure formed part of the State budget. The Chairman of a Town Board is usually a District Officer (ex-officio), whose headquarters is generally located in the Town : the remaining members of the Board are either appointed Government Officials or persons nominated by the State Government. When a Town Board is given a constitution providing for at least an elected majority of members, it is styled a Town Council. At this stage, however, it is still a department of the State Government and it does not become a financially independent statutory body until it is granted financially autonomous status, i.e. power to retain its revenue and control the spending thereof by the State Government. To complicate matters, financially autonomous status can be conferred on Town Boards, i.e. the local authority does not have to become a Town Council with an elected majority before it receives financially autonomous status. Either change of status may precede the other. The policy of Government, however, is to convert ultimately all these authorities into financially autonomous Town Councils over a period of time, and to expand the elected element until

The majority of Town Councils and Town Boards rely on Government for<sup>the provision</sup> of services to a far greater extent than Municipal Councils, largely because they do not have the financial resources of the larger Municipal Councils. The President/Chairman of the Council/Board is responsible for the day-to-day administrative running of the Council/Board's affairs. The District Health Officer and District Engineer, both professionally qualified Government Officers, are usually appointed members of the Council/Board, and the technical management of the authority's affairs are in their hands. The authority also has at its disposal the wide resources of the State Government Secretariat in the legal, financial and technical fields and draws on these for advice and assistance in meeting its major problems. The unofficial members of the authority, however, have a large say in the framing of the policy of the authority and in the making of decisions, Government assistance being largely confined to ensuring efficient implementation of the decisions taken. The activities of Town Councils and Town Boards do not range over as wide a field as that of Municipal Councils.

District and Rural District Councils are found only in the States of Penang and Malacca, and form part of the local government administration of these former Settlements in the Crown Colony of the Straits Settlements. They were formerly called Rural Boards, and are similar in form as to Town Boards except that their areas of jurisdiction cover the whole administrative Districts. On the analogy of Town Councils, their names were changed to District and Rural District Councils when they were granted constitutions providing for elected members. Some of them are now fully elected and have elected Chairmen. Some are financially autonomous and others have yet to acquire this status. Federal and State Governments' assistance rendered to District and Rural District Councils is similar to that given to Town Councils and Town Boards.

The Town of Kuala Lumpur which is the seat of the Central Federal Government is the<sup>Federal</sup> Capital. Under the Federal Capital Act, 1960, it has a Commissioner (termed as Commissioner of the Federal Capital of Kuala Lumpur)

and is at present under the direct charge of the Minister of the Interior. Its day-to-day work and statutory functions are similar to the Municipal Councils and its Annual Report is tabled at the House of Parliament. There are 3 large towns in the Federation, namely George Town, Penang (a City), Malacca and Ipoh which are Municipal Councils (George Town is a City only in status but in law a Municipal Council). These Municipal Councils are financially autonomous and wholly elected statutory corporations, and are more independent of services rendered by the Federal or State Governments than the other local authorities. They employ directly the whole of their staff, senior and subordinate, administrative and technical. They are largely self-contained entities, operating on their own resources within the wide powers conferred on them by legislation, and receiving little from the Federal and State Governments except statutory grants-in-aid and access to loan funds. Their potential activities range over the whole field of Municipal services - public health, public works, cultural activities, town planning, etc., and their activities in these fields are, generally speaking, restricted only by the extent of their finances. They rely on Government to some extent for advice on implementation of policy, but require no assistance in the day-to-day running of their affairs.

The overall responsibility for local government policy lies at present with the Minister and Ministry of Interior and forms part of the wide functions of that Ministry. The Federal Government, however, is only responsible for ensuring uniformity of law and policy in respect of the subject of local government, and executive power lies with the State Governments. The Commissioner of Local Government (established in 1957) is an adviser to the Minister of the Interior and the State Governments on the subject of local government. He maintains a department in the Ministry of the Interior and is responsible for framing and implementing local government development policy under the directions of the Minister. He liaises with the State Governments on the execution of local government policy and local government problems. He maintains contact with local authorities through visits and sometimes deals directly with them on policy problems particularly with the Municipal Councils and the larger Councils. The following Federal Ministries and

Departments render services to local authorities:-

Ministry of Interior )	General Policy
Commissioner of Local Government )	
Treasury	Grants-in-aid, loan funds.
Auditor-General	Audit of Accounts and Audit Reports
Election Commission	Conduct <sup>of</sup> /Local Authority Elections.
Federation Establishment Office	Advice on Personnel and establishment problems.
Inspectorate of Fire Services	Inspection of Fire Equipment and training of Fire Brigade Personnel.
Information Services	Publicity Services.
Ministry of Labour & Social Welfare	Advice on labour relations
Ministry of Health	Advice on Public Health Measures.
Department of Chemistry	Examination of Water, Food, Drug Samples.
Ministry of Education	Advice on Education Matters.
Ministry of Rural Development	Development in the smaller local authority areas particularly Local Councils.
Police Department	Advice on Police and other matters particularly traffic management.
Printing Department	Printing Services (on payment)
Road Transport Department	Only Penang City Council has its own Public Transport.

The State Governments are responsible executively for local govern-  
ment, and deal with the day-to-day affairs of the local authorities in their  
States. The State Departments which render services to the local authorities  
are :-

State Secretariat	General supervision and establishment problems.
Legal Department	Legal Advice, drafting of by-laws, etc.
Public Works Department	Construction of Public Works.
Town & Country Planning Department	Town Planning.
State Treasury	Financial advice and facilities
Land Offices	Advice on land matters.

### Present Local Government Services.

The main source of taxation of the local authorities is rates. Rates are payable by owners of holdings within the local authority areas. Holdings liable to rates are assessed by the Assessment Officials in the respective local authorities. The assessment is based on either the improved value of the holding or its annual value, i.e. the figure at which it is estimated that the property can be let in accordance with the laws governing the respective local authorities. The authority then levies a rate on what is considered a reasonable percentage on the assessable value of the liable holdings. Other forms of taxes are also levied on various trades within the local authority areas, but generally speaking these taxes are more for the purpose of control from the point of view of health and sanitation rather than sources of income.

### Central Services provided to or supporting Local Authorities.

#### Association of Local Authorities.

At present there is no association of local authorities. However, there is a Consultative Committee of the Municipal Corporations of which representatives of the Federal Capital of Kuala Lumpur and the Municipal Councils of George Town, Penang, Malacca and Ipoh are members. They hold frequent meetings during which common problems are discussed with a view to achieving uniformity. The question of forming an association of local authorities properly constituted is also being considered. In the various States where Officials like the District Officers are Presidents/Chairmen of the Town Councils/Town Boards, it is the practice of the respective State Governments to organise meetings of such Presidents/Chairmen and in the various Districts where the District Officers are responsible for the Local Councils, they organise meetings of the representatives of the Local Councils in their respective Districts.

#### General

The District Administration in areas where there is no local authority is the direct responsibility of the District Officer who is answerable to the State Governments. Under the directive and policy of the Ministry of Rural Development each District will have a District Rural Development Committee



people and representatives of all Departments. This Committee is answerable to the State Rural Development Committee which is under the National Rural Development Council. The development of the rural villages in each District which is not a local authority is looked after by the District Rural Development Committee and each village will have its own Committee.

### Housing

The Minister of the Interior is also charged with the responsibility of providing low cost houses for hire-purchase or flats for rental within the local authority areas for families whose income does not exceed \$300/- per month. The Ministry of Interior formulates the policy on housing while the Treasury makes the loan funds available. Financially autonomous local authorities which have borrowing powers are eligible for loans subject to approval by their respective State Governments. Only State Governments are eligible to loan funds for building such houses within the non-financially autonomous local authority areas. Local authorities such as the Municipal Councils which have all the necessary technical personnel can obtain loans and build such houses on their own agencies, otherwise such houses will be built by a legally constituted body known as the Housing Trust which has the necessary personnel to supervise all building works and construction.

CENTRAL SERVICES TO THE LOCAL AUTHORITIES

EROPA SEMINAR ORGANISED BY

THE UNITED NATIONS

at  
NEW DELHI.

-:-

C O U N T R Y P A P E R - P A K I S T A N .

ASLAM IQBAL, CSP.,

Deputy Secretary.

-:-

## CENTRAL SERVICES TO LOCAL AUTHORITIES.

Pakistan as you all know consists of two wings, which are separated by a distance of nearly 1000 miles. The area of West Pakistan is 310403 sq. miles and that of East Pakistan is 4501 sq.miles. Pakistan is divided into two Provinces - East and West Pakistan. The Provinces are sub divided into divisions which are further sub divided into districts and Tehsils or Sub Divisions. These are then divided into the fundamental political administrative unit of the system known as Basic Democracies, Union Councils in rural areas and Union and Town Committees in Cities. The following factors of history and geography are responsible for bringing about a certain sort of de-centralization in our country:

### 1. Distance.

West Pakistan as I have mentioned earlier spreads over an area of 310403 sq. miles and has a population of 4,28,81,000. The Provincial capital is in Lahore, which is at a distance of about 900 miles from the western extremity and 400 miles from the northern extremity. The area has been sub-divided into 12 divisions for the purposes of administration. Each division has four or five districts and an average district covers an area of 4000 to 5000 sq.miles. In order, therefore, to exercise effective control it is necessary that the power of authority should be wielded not from the Provincial Headquarter but from the district or sub-divisional headquarter. Hence the delegation of lot of powers to the Sub-Divisional Magistrates and the District Magistrates.

### 2. Inaccessible areas.

A look at the map of West Pakistan will show you

the varying type of topography found there. We have vast expanses of deserts, miles and miles of flat plains emerging into thick wooded jungles and then waves of undulating mountains. Some of the areas in the jungles, deserts and hills are normally inaccessible. This has necessitated the de-centralization of powers and functions of Government.

### 3. Historical Factor.

For certain political reasons it has not been found practicable or desirable to disturb the pattern of de-centralization prevailing in Pakistan. In the tribal areas of the former N.W.F. Province, for instance, the pattern of Government has been modified only slightly.

Semblance of what is now known as Local Government was first introduced in undivided India in 1880 and though the form and system underwent repeated changes the spirit and purpose of Local Government stayed on. In fact the concept of Local Government is not new to our country and even before the British came the institution of Panchayat at the village level had been in existence and it used to take active part in the lives of its people. The village being then the unit of administration and culture it was inevitable that the influence of active participation in the social affairs should have left deep marks in our socio-cultural matrix.

### 4. Internal Communications.

Most of the cities and areas in West Pakistan are connected by road, rail and air.

#### 1. Railway: After partition Pakistan got two

railway systems - North Western Railway in West Pakistan and Bengal Assam Railway in East Pakistan. The North Western Railway at the moment has a total track of 7515 miles and has 779 Railway stations spread all over the Province. The trains had, on average in one year, carried 1,24,737 passengers all over the Province. The most important route is from Karachi to Peshawar, which is over an area of nearly 1100 miles. Except for 1000 miles for double track the rest of the system is single broad gauge line with a narrow gauge in some hilly and remote areas.

2. Roads. Nearly all the towns and villages in West Pakistan are connected by roads. We have at the moment a total milage of nearly 40,000 of roads as compared to 13,781 in the year 1947. Roads are classified as National Highways, Provincial Highways, District and Feeder roads and minor and village roads. In East Pakistan, however, the road net work is comparatively less developed. There are very few Highways in East Pakistan and most of the roads are of a local and inter-district type only.

3. Inland water-ways. This mode of internal communication is prevelant mostly in East Pakistan where an extensive water-way system has been developed since partition. This has been due to the fact that numerous tributries of the Ganges, Bramputra and Magna divide in their lower reaches and are navigable over an extensive length, and over 1500 self propelled and very large number of other craft ply on them. In the rainy season in particular which covers a period of 6 to 7 months almost the only means of transport between thousands of villages

situated on the banks of these rivers is through the inland water way system. At the moment over 3/4th of the total traffic of the Province is carried on its water ways. It is estimated that 5000 miles are navigable during the Monsoon. Over 45 to 50 million passengers and 10 to 15 million tons of cargo is carried every year over these rivers.

In West Pakistan on the other hand communications through inland water-ways is almost negligible. A part of it is done over the Indus river but it is mostly in winter as in summer particularly, in the Monsoon, the current is much too swift and fast for the purpose. The spread of rail and road net works in West Pakistan have made travelling on the rivers unnecessary to a large extent.

4. Air. Pakistan has its own Air-Lines system known as Pakistan International Airlines. All the major cities of West Pakistan namely Lahore, Karachi, Quetta, Peshawar, Rawalpindi, Lyallpur and Multan are connected by air and the P I A operates daily Services between these cities. Similarly in East Pakistan Dacca, Chattagong, Jassore, Sylhet etc are connected by air. There are regular daily flights from Karachi to Dacca and Lahore to Dacca.

#### 5. Pattern of Central Government.

In Pakistan we have at the moment a Presidential system of Government which was established by the Constitution on 8th June, 1962. The Constitution envisages the creation of representative institutions based on the will of the people. We have at the moment a President, a Central Legislature and a Legislature in each Province headed by a Governor, who is appointed by the President. The term of office of the President and the Central and Provincial Legislatures is five years. To assist in discharging his duties the President has a set of Ministers who are appointed by him. To act as a link

between the executive and the Legislature, Parliamentary Secretaries from amongst members of the Legislature have been appointed. The President is elected by the elected members of the Basic Democracies. The Central Legislature of Pakistan is known as the National Assembly and consists of 150 general members, 75 from each Province. These members were elected by the elected members of the Basic Democracies. In addition, there are six women members - three from each Province. The National Assembly is the source of law and is the supreme law making body in the country. There is a provision for the impeachment of the President before the National Assembly provided a resolution to that effect is passed by not less than 3/4th of the total number of members of the Assembly. The members of the President's Council of Ministers are the Minister Incharge of various departments of Government. The departments are run by the officers of the Civil Service of Pakistan and the Provincial Civil Services.

In the Provinces the Governor, who is appointed by the President is the Chief Executive of the Province. To assist the Government in the performance of these duties the Governor has a Council of Ministers and Parliamentary Secretaries on the same pattern as that of the Central Government. The Provincial Legislature known as the Provincial Assembly consists of 155 members of whom 150 are elected members of Basic Democracies. The remaining five seats have been reserved exclusively for the women and they were filled by the 150 general members of the Provincial Assembly. The Assembly will continue for a term of five years. The Provincial Ministers are Incharge of various departments of the Province and are assisted by trained officers from the Civil Service of Pakistan and Provincial Civil Service. Apart



from the Legislature and Executive Branches of Government we also have a Judiciary, which is independent and is responsible for administering justice not only in individual cases but also between individuals and the State. A Judge under the Constitution cannot be removed from the office except by a special process in which his conduct will be judged by the Supreme Judicial Council comprising of the judges of the Supreme Court and the Chief Justices of both the High Courts. For each Province there is a High Court and the final appellate authority is the Supreme Court of Pakistan.

#### 6. Pattern of Local Government.

In Pakistan till the year 1959 the Local Government pattern was the same which had been in existence even before partition. In 1959, however, it was felt that the existing system of Local Government was not suitable for the needs and requirements of our people. That system, therefore, was scrapped altogether and was replaced by a system which is known by the name of Basic Democracies. The system of Basic Democracies aims at beginning from right at the bottom and after building a strong base to go on to construct the structure above. Basic Democracies is a system wherein the people at various territorial levels from the grass roots upwards are politically organised into units for the purposes of Local Government, to serve as a base for national operation in accordance with the National Basic values. It is a system where democracies starts at the lowest level, is broad based and has been made really effective and coherent. By the institutions of Basic Democracies, Basic Democracy has been brought to the door step of the people making it possible for them to understand its real meaning in terms of managing and developing their villages - or Mohallas, as they were managing

or developing their own houses or family. The system of Basic Democracies is based on three principles, namely Coordination, Collaboration and Cooperation. Coordination implies the set up of an order where-under the institutions of Local Government and the organs of Government have been integrated to work in close unison as a body politic. Collaboration implies that in the new order the Government is a Government in partnership between the local authorities and the various organs of the Government in the upper level. At the local level, the Local Councils are the representative of Government and at the upper level the Government is the representative of the Local Councils. Cooperation implies that while the Local Councils and the various organs of Government may operate in separate fields they must work with a common aim and purpose i.e. the good of the people. This means that while the Local Councils enjoy a good deal of freedom in the performance of functions allotted to them, a mechanism has been provided in the body politic to ensure that all activities are directed to one main purpose namely the good of the people. The Basic Democracies have the following tiers :-

- a) Union Councils for rural areas;
- b) Tehsil Councils;
- c) District Councils; and
- d) Divisional Councils.

#### Pattern of Local Government in the rural areas.

In the case of rural areas we have the organization for villages. A number of villages are grouped together to constitute a Union. A Union ordinarily consists of a population of 8,000 to 10,000, and a Union Council is set up for each Union. One representative is elected for every 800 persons in West Pakistan and 1100 persons in East Pakistan. All the

elected members of the Union then elect a Chairman from among themselves. The Union Council consists of elected and nominated members. The Union Council has a number of executive and social functions and for these purposes it has powers to levy taxes with the concurrence of the Commissioner on agricultural land, on import and export of goods, on registration of births and deaths and on animals, vehicles and boats. The Council also prepares its budget at the beginning of each financial year and sets down sources of income and details of expenditure.

Pattern of Local Government for Urban and Metropolitan areas.

In the case of urban areas small towns with a population not exceeding 14,000 have been declared as towns and a town committee has been set up for each town. Cities with population exceeding 14,000 are divided in a number of Units known as Unions. A Union Committee is constituted for each Union. In the rural areas a Union is a group of villages while in urban areas the Union is a sub-division of the city. The town and Union Committees will be composed of directly elected and nominated non-official members, the latter being not more than 1/2 of the former. The Chairman of the thus constituted Committee or group of Committees will become an ex-officio member of the Municipal body within whose limits the Union lies.

Tehsil or Thana Council.

Tehsil in West Pakistan and Thana in East Pakistan. For a Tehsil and Thana the Local Council is a Tehsil and Thana Council and Tehsil and Thana is a Sub Division of a District and comprises a few Unions and Towns. A tehsil and a Thana Council consists of representative members and appointed members. The Chairman of every Union Council and

Town Committee in a Tehsil is an ex-officio representative member of the Tehsil or Thana Council. The appointed members comprises officials and non-officials. The appointed members cannot exceed the total number of representative members. The Tehsil or Thana Officer is the ex-officio Chairman of a Tehsil Council. In Tehsil or Thana are also the Municipalities for which the local authorities is the Municipal Committee. A tehsil or Thana excludes a municipality for the purposes of local Government. The Municipal Committee consists of representative members and appointed members. The Chairman of every Union Committee is an ex-officio representative member of the Municipal Committee. The appointed members comprise officials as well as non-officials. The total number of members cannot exceed the number of representative members. There is a nominated Chairman for all the Municipal Committees.

#### District Council.

For every district there is a District Council. In Pakistan a district is an important unit of administration and at this level the various institutions of local Government and Government departments are suitably integrated and coordinated. The District Council consists of official and appointed members. The official members includes :-

- a) Chairman of a Tehsil or Thana Council.
- b) Vice Chairmen of all Municipal Committees; and appointed members in the District;
- c) The representatives of various Govt: Departments in the District.

Out of the non-official members to be appointed, 1/2 are to be choosen from amongst the Chairmen of Union Councils, Union Committees and Town Committees in the District and the other 1/2 are appointed from minorities, women etc. The Deputy Commissioner of the District is the ex-officio Chairman of the District Council.

Divisional Council.

Uptil now there was no system of Local Government at the divisional level. Institutions on Local Government at the divisional level have been introduced for the first time in Pakistan under the Scheme of Basic Democracies. A Divisional Council like a District Council consists of official and appointed members. The official members include the Chairmen of District Councils, the Chairmen of important Municipal Committees and the representatives of various Government Departments. Out of the appointed members 1/2 are chosen from the Chairmen of the Union Councils, Union Committees and Town Committees in the Division and the other half represent the various interests. The Commissioner of the Division is an ex-officio Chairman of the Divisional Council.

Broad pattern of Local Government in Metropolitan areas.

For the metropolitan areas we have the corporations. At present there are two Corporations in West Pakistan - at Lahore and Karachi. A Corporation is responsible for the administration of services of all types and is governed by the Municipal Administration Ordinance which was promulgated in 1960. A Corporation consists of a :-

- a) Chairman, who is appointed by the Government.
- b) Chairmen of all the Union Committees in the city.
- c) Appointed members - officials and non-officials.

The total number of elected members is not to exceed 30 in the case of Municipal Corporation.

The functions, control and supervision of Local Government in Pakistan is the concern of the Provincial Government. For the purposes of outlining policies and general control on Basic Democracies, the Basic Democracies Wing in the Central Ministry of Information is the responsible Ministry

in the Central Government. At the Provincial level there is a department known as Basic Democracies and Local Government Department which looks after both the affairs of the Basic Democracies and Municipal Committees in the Province.

Present Local Government Services.

The following services are now wholly operating under the orders of the local authorities :-

1. Responsibility for sanitation.
2. Removal, collection and disposal of refuse.
3. Maintenance of Latrines and Urinals.
4. Registration of Births, deaths and marriages.
5. Control of Infectious diseases.
6. Establishment of Health and Maternity Centres.
7. Promotion of Public Health.
8. Establishment of Hospitals and dispensaries.
9. Arrangements of water-supply and Drainage.
10. Maintenance of Bathing and Washing places.
11. Provision of Dhobi ghats and washermen.
12. Declaration of public water-courses.
13. Provision of Public Ferries & Public Fisheries.
14. By-Laws for articles of food and drink.
15. Licencing of Milk Supply.
16. Establishment of Public markets & Private Markets.
17. Provision of Salughter-houses
18. Provision of Veterinary Hospitals and Dispensaries.
19. Control of Stray Animals.
20. Establishment & Maintenance of Animal Homes & Farms.
21. Registration of sale of cattle.
22. Improvement of Livestock.
23. Declaration of Dangerous Animals.
24. Holding of cattle shows, Zoos, etc.
25. Disposal of carcasses.
26. Drawing up of Master Plan.
27. Preparation of Site Development Schemes.
28. Erection and re-erection of Buildings.
29. Regulation of buildings.
30. Maintenance of public streets.
31. Encroachments.

32. Provision of Street lighting & Street Watering.
33. Traffic Control.
34. Licencing of public vehicles.
35. Fire fighting.
36. Civil Defence.
37. Floods.
38. Famine.
39. Dangerous and offensive articles & Trades.
40. Provision of Burial & Burning places.
41. Provision for plantation & protection of trees, Gardens, Open spaces and Forests.
42. Nuisances pertaining to trees and plantations.
43. Establishment & Maintenance of Educational Institutions.
44. Maintenance of Cultural Centres & Libraries.
45. Arrangements for Fairs and Shows etc.
46. Management of Social Welfare Homes.
47. Preparation of Development Plans.
48. Community Development Projects.

Central Services provided to or supporting  
Local Authorities.

- a) Organization and functions of the following Services :-
  - 1) The concept of Organization and Method in administration is new to our country and although efforts have been made to introduce the O & M techniques in major departments of the Government no large scale attempts have been made to have any O & M Office in the departments concerned for the running of local Govt: services.
  - 2) We have at the moment two training Institutes known as :-
    - i) Basic Democracies Training Institute at Lala Musa; and
    - ii) Basic Democracies Training Institute at Tando Jam.

The following officers and persons are given training courses and orientation lectures ranging from 4 to 6 weeks.

1. Secretaries of Union Councils.
2. Development Officers & Supervisors under the Tehsil Councils.
3. Chairmen of Union Councils.
4. Chairmen of Union Committees.



We have also a Local Government Institute in Lahore which runs a course for the Supervisors for Local Government Services. The training ~~period~~ is for a period of nine months.

3). The Local Services Rules and Conduct Rules for the purposes of maintaining standard of recruitment and to exercise general personnel management services for local Government staff have been promulgated by the West Pakistan Government. The Local Service Rules provide for the creation of a Local Council Government on the pattern of the Civil Service of Pakistan and Provincial Civil Service. Henceforth all officers in the employ of the Municipal Committees will be drawn from the Local Council Service and will be transferrable from one Committee to another. This is indeed a radical step towards strengthening the Local Government system in Pakistan and making it self-sufficient as far as the Service cadre is concerned.

4). As mentioned earlier there is no Central Government Department which looks after the affairs of the Local Government. It is exclusively the concern of the Provincial Government and in fact coordination in the field among personnel of different agencies is done at the district level by the Deputy Commissioners and at the divisional level by the Commissioners.

5). There are no Central Budgeting and Planning Agencies. The Budgets of the Municipal Committees etc are prepared by the members of the Committees themselves and are presented before the members in the meeting of the Committee and are then passed by the Municipal Committee itself. A large amount of de-centralization has been brought about in this particular instance. Previously the Municipal Committees had to submit their budget proposals to the

Controlling authority and the budget could only be passed with the approval of that authority. Now this power has been given to the Committee itself. The Commissioner who is the controlling authority has been given the power of exercising his veto, within a period of one month in case he does not agree with the budget proposals.

As far as planning is concerned this matter is being taken up this year in right earnest. In the first two

5 year Plans of Pakistan no attention was paid to the Local Government side. This aspect needs strengthening and in the 3rd Five Year Plan which is at the moment under preparation the role that Local Government can play in the welfare and developmental activities of our country is being taken into consideration.

6). The only loan agency in respect of Local authorities is the Provincial Government. Loans normally are advanced by the Provincial Government to the Municipal Committees for undertaking big works schemes e.g. water-works, sewerage, street lighting etc.

7). At the moment there is no Association of Local authorities. The proposal to set up an association is at the moment under consideration.

8). The following staff Organization for Local authorities personnel are in existence in Pakistan at the moment :-

1. One Association for each Municipal Committee..
2. One Association at the Provincial Level.

Provision for the formation of a Local Government staff organization has been made in the Local Government and Municipal Servants Conduct Rules promulgated by the West Pakistan Government.

9). We have no non-Government ~~Machinery~~ Agencies concerned with the improvement of the Local Government. Any help in the form of grants or loans or guidance is given only by the Provincial Government.

10). The following are the forms of financial assistance to the Local Government :-

1. Grants; and
2. Loans.

Grants are being given to the Tehsil, District and Divisional Councils and occasionally to the Municipal Committees. This year a grant of Rs. 10 crore has been sanctioned by the Pakistan Government under the heading Rural Works Programme. The intention is to provide basic amenities of life to the people in the rural areas. For the purposes of audit, Audit Rules have been promulgated. We also have an office of the Local Fund Auditor attached to the Division, who look after the audit work of the Municipal Committees. The Local Fund Auditor is a Class one Officer. In the case of big Municipal Committees and Corporations a provision for a resident auditor exists where day to day audit is being conducted.

The activities of the Local Government agencies are always kept under observation and supervision is exercised in the field by the Divisional Commissioner, who is their controlling authority and then by the Government. Adequate checks have been provided in the Basic Democracies Order and the Municipal Administration Ordinance for this purpose.

To control and guide the activities of the Local Government Institutions we have a Director of Basic Democracies attached to each Division, who has an Assistant Director of Basic Democracies in each district under him followed by Development Officers and Supervisors at the

Sub-Divisional, Tehsil and Village level. Again in this case the control from the Provincial Government has been de-centralised to a large extent and the Commissioner alongwith the Director Basic Democracies have been given full powers in matters of control and guidance.

1. GENERAL.

The question of having issued any general directive or promulgated Government policy about development of Local authorities and the de-centralization of powers and responsibilities to them or other agencies of Local Government for those places where there is no Local authorities does not arise because the Basic Democracies Order has been made applicable to all the places in Pakistan and as such Local Government institutions exist every where.

2. As mentioned earlier an effective coordination between different departments and other specialised services with the local authorities has been achieved at the district, Divisional and Provincial level. Both at the District and Divisional level under the orders of the District and Divisional Council the representatives of the Local Government and other departments i.e. Agriculture, Education, Health, Housing, PWD etc may sit together and formulate various difficulties being faced by them and the means through which these difficulties may be solved. In case difficult issues are not resolved at the district and divisional level they are referred to the Provincial Government, where the matter is taken up with the concerned department and a decision arrived at. On the whole it has been observed in particular that most of the issues are solved at the district or divisional level and things have progressed smoothly because of mutual spirit of 'give and take'.

3. Main problems of Local authorities.

Main problems being experienced by the Local Government

1. Funds.

The Local authorities in Urban areas directly are being forced to cater to the needs of fast growing towns and cities. Unfortunately however the sources at their disposal have not increased with the result that the existing resources are being strained to the maximum. The expenditure of providing essential services is far in excess of the amount being utilised by way of tax and with the passage of time the gap is widening every year. This lack of funds poses another problem. The ~~existing~~ services namely water-supply, sewerages, road, lighting, etc. can neither be improved nor renovated nor replaced for want of adequate funds.

2. Lack of Supervision.

Large arrears by way of collection of taxes is mainly due to the absence of the effective supervision. This can only be brought about by having a set of trained and conscientious officials.

3. Lack of trained personnel.

Deterioration in the quality of the supervision of services is also due to the lack of trained personnel. This has resulted in an inefficient working of the Local bodies in undeveloped conditions. Large scale illiteracy, education backwardness and un-economic standard have to some extent nullified the good effects of the system of local Government.

4. Lack of civic consciousness.

This is one of the major hurdles in the way of the effective functioning of Local Government Institutions in our country. Steps however are being taken to try to make the people civic minded. We have in fact started right at the primary school where instructions to

this effect are being given.

It is, therefore obvious that the priority needs of assistance as far as Local Government are concerned is that of providing adequate financial assistance to enable the Local authorities to undertake development projects and make the services cheap, effective and wide spread.

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APPENDIX 'A'  
FUNCTIONS OF UNION COUNCILS.

1. Provision and maintenance of public ways and public streets.
2. Provision and maintenance of public places, public open spaces, public gardens and public play-grounds.
3. Lighting of public ways, public streets and public places.
4. Plantation and preservation of trees in general, and plantation and preservation of trees on public ways, public streets and public places in particular.
5. Management and maintenance of shamilats, burning and burial grounds, common meeting places and other common property.
6. Provision and maintenance of accommodation for travellers.
7. Prevention and regulation of encroachments on public ways, public streets and public places.
8. Prevention and abatement of nuisances in public ways, public streets and public places.
9. Sanitation, conservancy, and the adoption of other measures for the cleanliness of the Union.
10. Regulation of the collection, removal and disposal of manure and street sweepings.
11. Regulation of offensive and dangerous trades.
12. Regulation of the disposal of carcases of dead animals.
13. Regulation of the slaughter of animals.
14. Regulation of the erection and re-erection of buildings in the Union.
15. Regulation of dangerous buildings and structures.
16. Provision and maintenance of wells, water pumps, tanks, ponds, and other works for the supply of water.
17. Adoption of measures for preventing the contamination of the sources of water-supply for drinking.
18. Prohibition of the use of the water of wells, ponds, and other sources of water supply suspected to be dangerous to public health.
19. Regulation or prohibition of the watering of cattle, bathing or washing at or near wells, ponds or other sources of water reserved for drinking purposes.

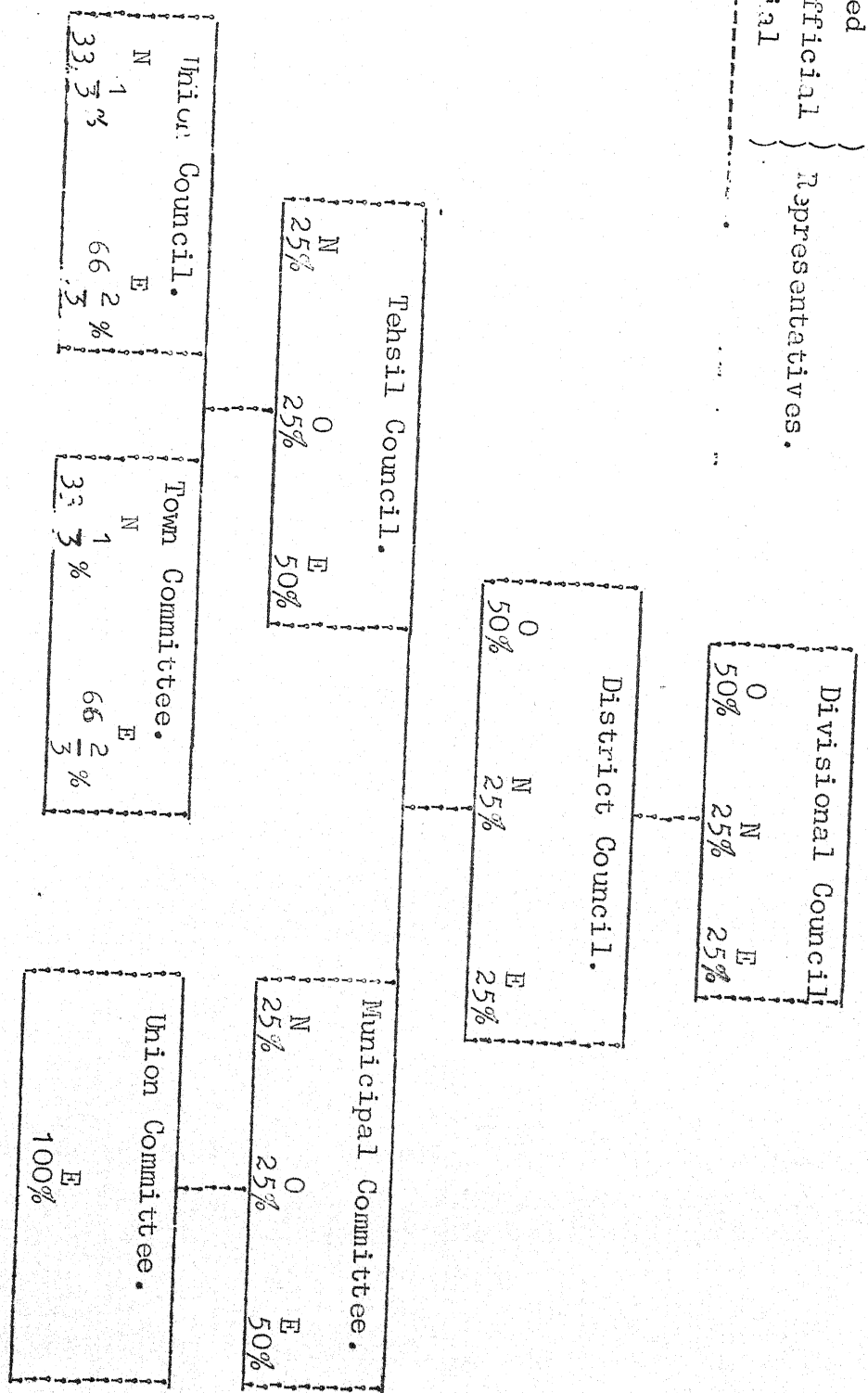


20. Regulation or prohibition of the steeping of hamp, jute or other plants in or near ponds or other sources of water-supply.
21. Regulation or prohibition of dyeing or tanning of skins within residential areas.
22. Regulation or prohibition of the excavation of earth, stones or other material within residential areas.
23. Regulation or prohibition of the establishment of brick kilns, potteries and other kilns within residential areas.
24. Registration of births and deaths, and the maintenance of such vital statistics as may be prescribed.
25. Voluntary registration of the sale of cattle and other animals.
26. Holding of fairs and shows.
27. Celebration of public festivals.
28. Provision of relief measures in the event of any fire, flood, hail-storm, earthquake or other natural calamity.
29. Relief for the widows and orphans, and the poor, and persons in distress.
30. Promotion of public games and sports.
31. Agricultural, industrial and community development; promotion and development of co-operative movement, village industries, forests, livestock and fisheries.
32. Adoption of measures for increased food production.
33. Provision of first aid centres.
34. Provision of libraries and reading rooms.
35. Co-operation with other organizations engaged in activities similar to those of the Union Council.
36. Aid in the promotion of education under the direction of the District Council.
37. Any other measures likely to promote the welfare, health, safety, comfort or convenience of the inhabitants of the Union or of visitors.

E = Elected  
 N = Non-official  
 O = Official

}  
 } Representatives.

APPENDIX-'B'.  
 TIERS OF BASIC DEMOCRACIES.



*Total population of Pakistan: 9,38,00,000.*

APPENDIX 'C'  
POPULATION OF WEST PAKISTAN  
(By Division and by District)

Division/District	Population in '000'
W EST PAKISTAN	42,880
PESHAWAR DIVISION	6,372
Hazara	1,384
Mardan	814
Peshawar	1,213
Kohat	628
Malakand Agency	1,537
Mohmand Agency	294
Kurram Agency	201
D.I.KHAN DIVISION	1,206
D.I.Khan	383
Bannu	428
North Waziristan	160
South Waziristan	235
RAWALPINDI DIVISION	3,979
Campbellpur	767
Rawalpindi	1,137
Jhelum	749
Gujrat	1,326
SARGODHA DIVISION	5,977
Sargodha	1,468
Mianwali	747
Lyallpur	2,684
Jhang	1,078
LAHORE DIVISION	6,449
Lahore	2,480
Gujranwala	1,292
Sheikhupura	1,081
Sialkot	1,596
MULTAN DIVISION	6,603
D.G.Khan	777
Muzaffargarh	990
Multan	2,702
Montgomery	2,134
BAHAWALPUR DIVISION	2,574
Bahawalpur	735
Bahawalnagar	823
Rahimyar Khan	1,016

KHAIRPUR DIVISION	3,134
Jacobabad	529
Sukkur	837
Larkana	604
Nawabshah	692
Khairpur	472
HYDERABAD DIVISION	3,291
Hyderabad	1,286
Dadu	485
Tharparkar	728
Sanghar	430
Thatta	362
QUETTA DIVISION	630
Quetta-Pishin	267
Sibi	123
Loralai	111
Zhob	88
Chagai	41
KALAT DIVISION	531
Kalat	341
Mekran	147
Kharan	43
KARACHI DIVISION	2,135
Karachi	2,044
Lasbela	91

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FOR PARTICIPANTS ONLY

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CENTRAL SERVICES TO LOCAL AUTHORITIES

21 October - 6 November 1963

Country Paper: Nepal

By

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THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION  
INDRAPRASTHA ESTATE  
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NEW DELHI (INDIA)

CENTRAL SERVICES TO LOCAL AUTHORITIES IN NEPALBasic Data

The Kingdom of Neapl lies on the southern flanks of the Himalayas, the highest and longest chain of mountains in the world. The country is rectangular in shape with an area of roughly 55,000 square miles or 1,41,000 square kilometres, between latitude  $80^{\circ}$  and  $88^{\circ}$  E longitude, between  $27^{\circ}$  and  $30^{\circ}$  N.

Neapl is a mountainous country with nearly three-fourths of the area being ranges of the mountains or their hazardous slopes or the valleys surrounded by hills. Only the remaining one-fourth part is an extensive alluvial terrain. These tremendous differences in attitude, together with the limited seasonal rainfalls, have provided for a great climatic contrasts in Nepal. Within her limited extent, she has almost all types of climates-tropical, temperate, arctic or even arid.

Nepal may be divided into five natural topographical units. On the southern side, parallel to the foothills of the Sivalik hills, running east to west, and the Indian border, is a narrow tract of plain near about 50 kilometres in width and only little more than 200 metres above the mean sea level. The area provides for the cultivation of various agricultural crops and is known as "the granary of Nepal".

/Except for

Except for the northern part, which is covered with marshes and jungles, it is nevertheless densely populated. On the extreme south, bordering India, there are a number of townships, which are being rapidly developed with the installation of new industries.

Then comes the Sivalik hill zone which rises near about 2,000 metres in height, is covered with tropical forests, wild landscapes and rugged valleys flanked by steep hills. This part is not suitable for inhabitation and only few scattered villages are to be found there.

Towards the south of this area lies the Mahabharat zone, which is a chain of mountains, running from east to west almost across the whole length of the country. The summits of these mountains are 3,000 metres high at the most and their slopes, mostly northern, are inhabited by men.

Then comes the Central Region, the heart of the country, which is a criss-cross of big natural valleys, flanked by the lofty Himalays on the north. This region, with an average elevation of 1,200 metres above the mean sea level, provides remarkably good climatic conditions for inhabitation and agriculture. The population of these midlands constitute the major part of the total population of the Kingdom. The valley of Kathmandu, the capital, lies in this part.

/Further south,



Further south, there stretches the massive chain of magnificent mountains, the great snow-clad towering Himalays, which consist of the highest peaks on earth- the Everest, Lhotse, Makalu, Dhaulagiri, Manaslu, Annapurna etc. Settlements are still found on the southern slopes of the big Himalays up to the height of 2,400 metres. More surprising is the fact that there are certain points in the north where people live <sup>as</sup> at/high an altitude as 3,800 metres.

Although a very small country, **Nepal** provides a striking example of racial and ethnical diversities. The unique topography of the country has rendered it almost practically impossible to embrace the whole populace into a single cultural pattern. The topographical divisions of the country had also a decisive influence on the distribution of the ethnic groups. In the main, the people may be divided into three racial groups -- Indo-Nepalese, Ancient Nepalese and Tibeto-Nepalese. The inhabitants of the central regions constitute the original Nepalese population, whereas the other two major ethnic groups are created as a result of the intermingling of the local people with the outsiders, who infiltrated either from the south or from the north across the gigantic Himalays. This broad classification does not include a large number of miscellaneous/minority groups and insignificant ancient tribes, some of whom are still nomadic and live in a most primitive way. This multi-racial nature of the country is evidently reflected in the different ways of life of the people and various dialects they speak.

/The latest

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The latest census puts the Nepali population at a little over nine and a half million. Out of this, as has been stated above, the bulk consists of the mid-land dwellers. The population in the north is less dense as compared to the southern terrain, adjoining India. Almost the entire population is rural in nature, in the sense that there are not more than a dozen towns, with less than ten thousand inhabitants, in the whole of Kingdom. The city of Kathmandu, which is the largest in the country, has a population of little over two lacs.

The topography of the country also poses a formidable problem of communication and transport. Good means of transport and communication are very much lacking. Moreover, the mode of transport is to be varied in view of the topographical conditions. Primitive means of transport, such as bullock carts, elephants, horses and donkeys are still in use in various parts of the country. Porters carrying loads on their backs and runners carrying mail bags are still to be frequently seen in the mountainous interior of the country.

There are near about 1,500 miles of roads suitable for light motor transport. The mileage of roads suitable for bullock carts, in addition to mule tracks and village roads are estimated at not more than 10,000 miles.

There are near about seventy miles narrow-gauge railway lines in the southern plain. A ropeway, approximately 28 miles long, connects the Kathmandu valley with Hetauda, a town in the Siwalik zone.

/Air service

Air service is only a recent introduction in Nepal, not exceeding a little more than a decade. But recent development in air transport has been noteworthy. At present, there are twelve airstrips linking different parts of the country together. The use of airways is considerably increasing because in the first place there is a comparative dearth of other means of transport, and in the second place, it is quicker as well as more comfortable.

All the fourteen zonal and a few district headquarters are linked with the capital by wireless communication. A plan to hook-up all the seventy five districts with the Centre by telecommunication system is being executed at a rapid pace.

This peculiar geographic conditions had greater, though imperceptible, influence on the way the country was governed even in those days when words like 'democracy' or 'decentralisation' could hardly be heard. This very much retarded the forces of centralisation in practice, though in principle the oligarchic regime was primarily based on the principle of regimentation and centralisation. Officers in charge of district administration enjoyed a very wide range of powers for all practical purposes, which was denied to them as a rule. The capital could not be easily contacted due to lack of good means of communication by districts, farther off. The centre could neither communicate its decision or orders in time. In practice, the farther away the districts the more powers they enjoyed.

/There was

There was no alternative, district authorities had to act on their own. Decentralisation was forced by circumstances.

#### Background of structure of government

Nepal is governed under the Constitution which was promulgated on December 16, 1962. The present Constitution replaced the old one which was in force since February 11, 1958. The Constitution of 1958 was the first that Nepal had in her history except for an interim Constitution which was promulgated immediately after the Revolution of 1950-51. Before that, Nepal was ruled under a family oligarchy for more than a century, which usurped all Royal powers and prerogatives. The institution of kingship continued with no real power until the family rule was overthrown by the Revolution of 1950-51.

The first Constitution of Nepal was based on the concept of parliamentary democracy within the framework of constitutional monarchy. The governmental structure was unitary with a bicameral legislature. Judiciary was separated from the executive for the first time. Fundamental rights were guaranteed under the Constitution and the "system of ballot box" was introduced for the first time within the length and breadth of the country.

But the Constitution of 1958, when many of its provisions were put into practice, proved unsuitable to the country for various reasons.

/ The sheer

The sheer backwardness of the people coupled with the high percentage of illiteracy (over ninety per cent) and the awfully long period of isolation which the Rana oligarchy had inflicted upon the country, has kept the general level of political consciousness of the people miserably low. No democratic ideas could flourish under the past Regime since there was absolutely no political liberty. Publication of newspapers and political literature were totally prohibited and the people were denied even elementary civic rights.

Moreover, parliamentary democracy as a form of government was completely unknown to the people. As such, the experiment of parliamentary democracy had to be abandoned after "an honest and sincere trial because it brought complications, uprooted the normal tenor of life in the country and produced chaos".

It was felt that in special conditions prevailing in the country the idea of democracy was to be sold to the people "through institutions that are known rather than through institutions that are unknown. There are two institutions in Nepal, namely, Kingship and Panchayat, that are commonly known and understood by the people".

The present Constitution, against the background of the failure of an alien concept of parliamentary democracy, embodies the concept of active participation of the institutions of Monarchy and Panchayat for unity, stability and peaceful progress and all-round development of Nepal and her people.

/Panchayat is



Panchayat is a dynamic concept. This political system recognises the paramount need of the institution of Mingship as an integrating symbol in a land of diversities and multi-racial population like Nepal and also as a dynamic force for the teeming millions of her people, who are in a state of acute backwardness.

The concept of Panchayat which has come down from generation to generation, in one form or another, since the early days, has withstood the vicissitudes of history in Nepal.

The system makes it automatically obligatory for every adult citizen to take interest or participate in the affairs of his or her village or town. It lays stress on decentralisation of power at various levels of State apparatus as more as possible or practicable. In Nepal "the Panchayat system has been evolved to give strong aid and support to the political system based on state authority and public approval".

#### Structure of government

The new Constitution declares Nepal as "a monarchical Hindu State" and sovereignty is vested in the King. All powers -- executive, legislative and judicial -- emanate from him. These powers are exercised by the King through the organs established under the Constitution. The main organs are the Raj Sabha (State Council) the Council of Ministers, the Panchayats and the Supreme Court. The unitary structure of government is retained.

/ The council of

The council of Ministers aid and advise the King in the exercise of his functions. Ministers are appointed by the King from among the members of the Rashtriya Panchayat (National Legislature). They are responsible to the King. The Council of Ministers lays down the policy of the government and also initiates legislation. Each Minister, who has generally more than one portfolio, supervises the activities of his ministry and executes the policy of the government.

The Minister is assisted in the ministry by a group of officials and technical experts headed by a secretary to the government, who is generally a senior civil servant. Various functional departments are integrated within the ministry as appropriate.

Nepal is divided into fourteen zones. General administration of the zone and supervision of development works of regional nature undertaken by the Central Government is entrusted to the commissioner, who is either drawn from the civil service or is a political appointee.

The country is further divided into thirty five districts for administrative purposes. The district officer (who is known as Badahakim or Magistrate in some districts) is the head of the district administration. The district is the lowest, and yet the most important, unit of the administrative structure of the country. Before the advent of the Panchayat system the district officer was responsible for the co-ordination of the activities of the field officers of various functional departments.

/ Panchayats



### Panchayats (structure of Local governments)

The Panchayat system is a four-tier unitary structure, the apex of the pyramid is the Rashtriya Panchayat (National Legislature). Gram Sabha or Nagar Panchayat (Village assembly or city council) consisting of one or more villages and having the total population of between two to five thousand (not less than ten thousand in the case of city council) is the basic unit of the Panchayat system. There are a little over thirty-five hundred such basic units in the country.

Representatives of village or city panchayats elect Zilla Panchayats (district council), which are seventy five in number. These seventy five districts, in their turn, elect fourteen Anchal Panchayats (zonal council). A zone consists of between four to eight districts.

All these panchayats (except the city panchayats) have two bodies -- general and executive. The general bodies of the zonal panchayats elect the members of the Rashtriya Panchayat, numbering ninety.

### Relations of central and local governments

The Ministry of Panchayat Affairs is responsible for the organisation, guidance, support and development of the panchayats. There are three departments within the Ministry, responsible respectively for, (I) the organisation of panchayats and providing necessary guidance and framing rules for the working of Panchayats, (II) providing support in

/the form

the form of technical know how and grants-in-aid and finally, (III) making available rural credit to panchayats and encouraging them in co-operative movements.

The Ministry has field-officers in every district and zone as secretary to the panchayats, who are drawn from civil service. These officers are also primarily responsible for co-ordinating the activities of various technical and social services departments of the government at district level. Each city panchayat is provided with an executive officer to help carry out day-to-day business. The plan is also afoot to provide each village panchayat with a trained social worker to function as secretary.

Every technical and social services departments of the government have their field-offices in the districts. The services of these field organisations for district-level activities are made available to district panchayat authorities. They implement the programmes drawn up by panchayats under the district administrative supervision of the field-officer of the Ministry of Panchayat Affairs (who is known as Panchayat Development Officer) and the technical control of the department concerned. The P.D.O. also supervises and co-ordinates the activities of district and village panchayats. In addition to technical experts drawn from various departments, the office of the P.D.O. is also manned by clerical staff, most of whom are from the Central Government service.

/ The office

The office of the P.D.O. is completely at the disposal of district authorities and functions as a secretariat to district panchayat.

#### Co-ordination at the Centre

In the Centre, the activities and programmes of the ministries, having local field offices in the districts, are co-ordinated by the Ministry of Economic Planning in close collaboration with the Ministry of Panchayat Affairs. Periodical conferences of high level officials of the ministries, having local units in the districts, the Ministry of Economic Planning and the Ministry of Panchayat Affairs is a permanent feature of this arrangement.

#### Present local government services

The Panchayats are authorised under the existing law to undertake supervise and control the following activities at their respective levels :-

- (a) Improvement in agriculture, irrigation and animal husbandry,
- (b) Development of cottage industries,
- (c) Public health, sanitation and drinking water projects,
- (d) Development of cultural affairs and primary and secondary education,
- (e) Development of co-operative movements and land reclamation, and,
- (f) Construction and maintenance of roads, small bridges etc.

/ The panchayats

The panchayats have yet to have their share in the general administration of their respective areas. But they are responsible for over-all development planning for zones, districts and cities and villages respectively.

Central services to local authorities

The whole efforts of the Central government are channelled towards strengthening the local bodies and helping them to stand on their own legs, specially in matters of development works. But the extent of Central services, however, is limited owing to the fact that Nepal is still in her early stages of development.

Administrative structure of local governments is their own responsibilities, which, in practice, is very much influenced by the limited resources at their disposal. The Central organisations and Methods office (which is known as the Department of Administrative Affairs) is only a recent creation and its cells are yet to develop at field levels.

The Panchayat Research Institute has been recently established by the government with a view to facilitating and encouraging research in different aspects of Panchayat philosophy and its working.

Apart from this, three institutes, two in the Capital and one in the district (Chitwan), provide facilities for training for government officials attached to panchayats, social workers and elected members of panchayats, in various matters directly connected with their business.

/ Personnel for

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Personnel for services for local governments (panchayats) in rural or urban areas, fall into two categories:- (I) staff attached to panchayats by the Central government from its service and (II) staff directly recruited by panchayats. Personnel drawn from the central Government service are generally recruited by the Public Service Commission through competitive examination. Panchayats have their own method of recruitment-- viva voce or written test. There is no general pattern of recruitment. Moreover, there is no special cadre of personnel to be attached with the panchayats nor special test is taken to ascertain their ability and competence in working with local government authorities.

The Central Department of Administrative Affairs has jurisdiction over the whole government service so far as the training aspect is concerned. But its training programme are confined only to administrative matters of general nature. Training for field personnel of different agencies of the government with a view to enlisting their efficient co-operation for panchayats are periodically organised by the aforesaid institutes, which are run by the Ministry of Panchayat Affairs.

Panchayats in Nepal are corporate bodies under the Statute of State. They are wholly responsible for budgeting and planning programmes and also executing them. The Central Government is not entitled to interfere in the workings of panchayats through any agency whatsoever. Mere guidance and necessary instructions are made available to panchayats by the Ministry of Panchayat Affairs also in matters of budgeting and planning as in others.

/ There are no

There are no permanent agencies for providing loans for local governments other than the government. A rural credit bank is in the offing which might help to some extent in this respect as well.

No association of local authorities or personnel thereof exists at the moment.

Apart from the government, no other agency exists which is directly concerned with the improvement of local governments. The Panchayat system is based on the conception of partyless democracy and political parties are not allowed to function. Instead, class and professional organisations such as peasants organisation, workers organisation, teachers organisation etc. are encouraged for the promotion of class and professional interests and for the general good of the country as a whole. Harmony between different class interests is ensured through a top-level body, named as the National Guidance Council. It is headed by the King, but is not one of the organs of State under the Constitution.

This body is also entrusted with the taking stock of political activities in the country from time to time and provide general guidance to the government, the panchayats and the people as a whole for political and social development of the country.

The forms of financial assistance rendered by the Central Government to local authorities vary at different levels. For example, City panchayats are given regular grants annually, in addition to special grants made available for specific projects.

/ District



District panchayats get grants on the basis of the plan they submit to the Central Government, but not necessarily covering the whole expenditure involved, on half-yearly basis. Grants for the second half of the year is subject to sub-mission of statement of accounts of the first half to the Central Government. In addition to this, matching or partial grants are also provided for some specific projects. Grants to village panchayats are provided through district panchayats.

Regular supervision of activities of local bodies are made by the Ministry of Panchayat Affairs, through administrative officers of the Central Government stationed at zones and districts. Frequent tours are also undertaken by officials of the Ministry of Panchayat Affairs. Regular reports of the activities of panchayats are also submitted by the officers attached to them by the Central Government.

#### Policy of government for development of local authorities

The Panchayat system implies that powers of the government be decentralised at its different tiers as much as possible. It also implies that elected representatives of the people, who will be at the helm of affairs at various levels of the Panchayat machinery, be encouraged to actively participate in administration at their respective levels and to shoulder ever-greater responsibilities.

But power cannot be decentralised without taking into consideration the general capabilities of the people who are to shoulder the responsibilities

/transferred to



transferred to them. Decentralisation brings authority, which in the absence of experience and efficiency is likely to be misused or abused. Imposed decentralisation might breed chaos, more so in a developing country like Nepal.

The Constitution of Nepal conceives the Panchayat as a system embodying the principles of decentralisation. The system also ensures the continuation of the process of decentralisation. Legislations have been enacted to give a wide range of powers -- judicial and executive -- to the panchayats. All development works of local or regional nature have been made the responsibilities of the panchayat authorities.

The policy of the Government, as implied by the very political system the country has adopted, is to delegate all powers of administration, including the maintenance of law and order, to local governments. The Central Government would confine itself mainly to the security of the country, external affairs, the communication system, big development projects and industrial undertakings, scientific research and higher education etc.

The general mood of the country is for decentralisation. The basic principle of decentralisation underlying the Panchayat philosophy is being tried honestly and sincerely. Some districts in different geographic regions and having divergent characteristics are to undergo an experiment in decentralisation of powers to local government authorities. All central

/ government

government responsibilities, other than those enumerated above, including the maintenance of law and order, are to be handled by these district panchayats. If the experiment results in success, the process for handing over complete charge of the district administration to local authorities will be set in motion.

Main problems of local authorities

The problems confronting the local <sup>authority</sup>/are manifold. New responsibilities have been devolved on men who are relatively inexperienced either in administration or in development works. Skilled or trained hands in the services of local governments are still lacking. There is a dearth of experts.

Lack of adequate finances is the greatest problem the panchayats are facing. Proceeds from taxes are meagre as compared to the amount of expenditure involved in various development works and social services. However, the people are not used to taxation. The resources of the Central Government do not permit it to make available sufficient funds for the local bodies as grants\_in\_aid. Agencies for advancing loans to panchayats are not functioning.

Serious thoughts are being given to this problem. New measures are being contemplated. Other possible sources of income and taxation are being explored and tapped.

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/Asn:

A

COUNTRY PAPER

Requested information about Iran.

BY

A.N. AMERIE

General Director of C.D. Organization .

1. Factors of History and Human Geography affecting the pattern of Decentralization.

Perspective. Iranian society, basically agrarian, is, presently in transition from what may be referred to as a traditional society to that of a modernizing nation. There are a host of highly interrelated physical, social economic, psychological and political factors and problems of development-part and parcel of our historical, geographic, and national heritage- which are crucial to the establishment and development of a system of decentralization in our country.

With a system of Constitutional Monarchy, our system of government administration traditionally has been highly centralized and unitary in form-- such of course was geared and fashioned to meeting the needs of a traditional society. New developments and changes borne of the transition-- have placed stresses and strains upon the centralized system of administration and our Government now looks to the establishment of a system of decentralization fashioned to the needs of a modernizing nation.

The following factors are especially pertinent to the establishment and operation of an efficient system of government decentralization in Iran aimed at continuing development of the country.

Physical Factors. With approximately 20,000,000 inhabitants, a birthrate estimated at approximately 3 percent, and a per capita gross national product estimated at approximately \$200 per year, the population is about 75% rural, predominantly Moslem, in its majority speaks Persian with a variety of lesser ethnic and religious groupings speaking a number of dialects. 1/ Although not as significant in some respects as such factors were a decade ago, the strength and character of national ties for development purposes still vary among different geographic areas, as well as among lesser ethnic and religious groupings particularly with respect to migratory elements of the population and the more remote

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1/ Iran comprises an area of 628,000 square miles, bordered on the north by the Union of Soviet Socialist Republics, by Iraq on the west; Pakistan and Afghanistan on the east; and the Persian Gulf on the south.

geographic areas.

Despite a great deal of progress in physical improvements over the past decade, the majority of our people, especially in the rural areas, are still grossly handicapped by a maze of interrelated problems-- illiteracy, an inadequate system of village schools, poor sanitation and health, low level productive methods and practices of farming and forestry, inadequate and unsafe drinking water supplies, under development or absence of village or cottage industries, general economic insecurity, superstition, and in basic respects outworn social and political organization and traditions--all of which contribute to and together result in the generally low-level and inadequate standards of living dominating rural life in general.

Local Organizational Factors. The " grass-root" and basic social, economic, and political organizational unit in our country is the village. It is the prime organizational unit which must be dealt with if appreciable, widespread, and durable strides are to be made in effectively reaching and involving our villagers in development activities. Its importance in the social, economic and political development of our country centers, of course, around the fact that the vast majority of our rural people (approximately 75% of our total population) live in the villages.<sup>2/</sup> These villages are dispersed geographically across a total of thirteen Provinces (Ostans) and five Special Areas (Farmandary Kols) which, in turn are subdivided into a total of 137 Districts (Shahrestans), and which, in turn, are subdivided into a total of 389 Sub-Districts ( Bakhshs).

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<sup>2/</sup> As noted previously, there are approximately 49,240 inhabited places in Iran; this figure includes municipalities and other places which cannot adequately be classified as villages. The most recent census designates 330 of these places as municipalities (it is anticipated that the number of places so designated will be increased within the near future to a total of approximately 500). There is a total of approximately 5,267 places with populations of less than 25 persons and containing only about 0.4% of the total population; a total of 4,688 places with from 25 to 49 inhabitants and containing about 0.9% of the total population; a total of 8,420 places with populations of from 50 to 99 inhabitants and containing only about 3.3% of the total population; a total of 15,496 places with from 100 to 249 inhabitants and containing about 13.5% of the total population; a total of 8,931 places with from 250 to 499 inhabitants and containing about 16.5% of the total population; a total of 4,314 places with from 500 to 999 inhabitants and containing about 15.5% of the total population; a total of 1,682 places with from 1,000 to 2,499 inhabitants and containing

For purposes of government administration, each Province is under the overall jurisdiction of a Governor-General (Ostandar) appointed by the Prime Minister upon the recommendation of the Minister of Interior. The Governor-General is responsible to the Prime Minister through the Minister of Interior for the Over-all administration and operation of the Government's "regular and development" activities in the Province (Ostan).

Each of the 137 Districts (Shahrestans) is under the jurisdiction of a Governor (Farmandar) of the Ministry of Interior who reports and is directly responsible to the Governor General (Ostandar) for the administration and development of the Shahrestan. And each of the 389 Sub-Districts (Bakhshs) is under the jurisdiction of a Sub-District Governor (Bakhshdar) of the Ministry of Interior who reports and is directly responsible to the District Governor (Farmandar) for the administration and development of the Sub-District (Bakhsh).

At the village level, the Government, through the Ministry of Interior, is represented by a Village Headman (Kadkhodah) appointed by the Bakhshdar with the approval of the Farmandar but who in reality in the past was most often approved upon the recommendation or concurrence of the landlords of the area. The Ostandars, Farmandars, and Bakhshdars are paid employees of the Ministry of Interior. Plans are that Kadkhodahs will become elected-- and as such serve as Chairman of the elected Village Council.

Social, Economic and Political Factors. The Iranian institution of family is strong and patriarchal in form. Family members are brought up to adhere with great tenacity to family traditions and practices. Cooperation among members of families both immediate

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2/ about 12.7% of the total population; a total of 256 places with from 2,500 to 4,999 inhabitants and containing about 4.6% of the total population; and a total of 186 places with more than 5,000 inhabitants and containing about 31.4% of the total population. A "village" might well be regarded arbitrarily as a center of population ranging from a minimum of 100 persons to a maximum of 5,000 persons, primarily engaged in agriculture, forestry, fishing and/or mining, with agriculture most often predominant, such center entailing dwellings, premises, and contiguous land areas upon which the inhabitants earn a livelihood. According to this definition there are approximately 30,000 inhabited places in Iran which might be termed villages, and these places contain about 62.8% of the total population of about 93.2% of the total rural population.

and extended, as well as within the tribe, under the general arbitration of the head of the extended family or tribal chieftan, is generally a matter of custom and tradition, borne largely of the necessity in the past for survival; but cooperation between families and between tribes is not a marked characteristic of the Persian. Such characteristic is not conducive to ease in the establishment of local government nor for joint community action.

The individual Persian by culture has been generally reluctant to enter into cooperation in the European sense or to accept collective responsibility; he is not a natural joiner to work with others toward a mutually desired goal. Such is not due to lack of initiative, but more probably because his primary concern is for his own family. There are indications now that some of these traits pertaining to strong family ties are beginning to change, especially in the urban areas, but any major transition concerning them in the rural areas has yet to take place, where still a high value is generally placed on acting and living in the ancient ways.

There are still in the rural areas, especially and in general, numerous superstitions associated with birth, marriage, and most social and other activities. There is, for example, special significance attached to specific days and times of the week when work may be done and when work should not be done.

Another strong traditional trait of Iranian society is that of paternalism, a nurtured product of the landlord system-- there is a general feeling that it is the duty of those of the upper class and governmental level, in their own way and course of thinking, to look after the needs of the lower class. Although there is now beginning to emerge a middle class, paternalism remains a strong trait in general of Iranian society from top to bottom.

The landlords traditionally have exercised extensive controls throughout the entire Government hierarchy from the village level to and into the national level, including the various ministries and Agencies as well as the Parliament. At the village level they controlled the land and the water, and thereby controlled the means of production of the basically agrarian society. In this way, the entire society was well organized to insuring the continued social, economic and political control of the



country by a minority group, the landlords representing approximately 5% of the total population.

Under this system, and as concerns the traditional approach to centralization and control, Government officials were most often sent out from the capital to administer areas with little historical precedent or experience, basically oriented towards "serving" areas based upon the participation or wishes of the majority of the people. In this sense, no real local government existed. Government Administration was centralized. It is not surprising then that the traditional attitude of villagers towards the Government officials was one of distrust, suspicion and apprehension. When a villager thought of a government official, he usually thought of three things-- someone coming to collect taxes, or someone coming to get his sons for the army, or someone sent out to see that controls were properly maintained over him.

The structure of the majority of the villages of Iran was basically feudalistic. If a landlord decided it was not to his interest for "his" villagers to attend literacy classes, to attend they risked being thrown off the land, and the problem for the villager then became one of survival, of trying to find a village where his old landlord would not have his new landlord order him from the village; if an "election" was held, the villager had no alternative but to "vote" according to his landlord's instructions; if a development activity was to be carried out, the villager could only participate to the extent that his landlord approved of the project, etc. In general, the landlord's basic control of the economic situation for the villager was highly integrated into the perpetuation and continuance of his political and social control of the villager which, in turn, contributed to the perpetuation and strengthening of his economic control. In this sense, overall government organization and administration were fashioned with great facility and "efficiency" to respond to and meet the "requirements and needs" of the basic social, economic and political cultural pattern of the country.

For example, the extension of new agricultural techniques and financial assistance could only be accepted, adopted, and utilized in the village, and the benefits to be derived therefrom distributed to the extent that such did not threaten or change the basic village statusquo. On the other hand, the villager was not interested in the adoption of new agricultural techniques if they resulted only to the benefit of the landlord or were of no benefit to

himself, or if such threatened what little security he had. To the extent that such adoptions might benefit the villager in some measure, they at the same time, by the very nature of the village power structure, also stood in like measure to increase the hold of the landlord on the villager. In short, such assistance most often subsidized the economic status que. To the extent that social development was permitted or happened to take place within such a setting, was the extent to which pressures were created for basic changes in the total status que -- political, economic and social-- that extent came to be indicated by the extent that the "revolution of rising expectations" came to the villages of Iran and His Majesty responded with his renowned land reform program and with his Farman calling for the establishment of a system of local autonomy.

His Majesty has launched the gigantic task of changing the basic wellsprings of our entire society by transferring the base of power for our country from a minority, the landlords, to the majority of the people. Despite the beginnings of a vigorous program of land reform, the long-institutionalization of landlord control still deeply permeates to the furthest reaches of our culture. Land distribution is a basic step, but far more difficult is the task of what is to happen on the land after its distribution and this task is social, economic and political. The vacuum created by the transfer of power from the landlords exists in each of these areas and they are highly interrelated. Not only do our villages, for example, need technical assistance and know-how, credit for tools, seeds, fertilizers, they need assistance and guidance in developing and growing to assume their full responsibilities as free participating citizens, for it is in this area that the determinations of the other things they need will be decided and provided. The people, working through their own representative, for example, become more conscious of the connection between taxes and the provision of services. They soon learn that those representatives who protest most loudly or who promise the most are not necessarily the ones who work hardest or most successfully for the village.

The more one learns about freedom, the more he learns that freedom is, above all, responsibility. And the quickest and most reliable way for a man to learn about freedom is to shoulder his own responsibilities as a citizen. The first steps towards deve-

Developing our rural areas for the building of a modern nation state is through the establishment and development of an authentic system of local autonomy based upon the free election by our villagers of representative Village Councils which will be responsible for the interrelated social, political, and economic development problems as briefly described in the sections above coupled with the development of a decentralized system of Government administration and services aimed at assisting our people in the process of such development.

These characteristic problems of village life in our country are in general presently complicated by a widespread and low-level utilization of both our human and natural resources, coupled with a low per capita income-- the crumbling of the landlord control of the means of production on the land, a rural vacuum calling for Government assistance not to replace landlord control in the villages by doing for villagers, but to obtain positive identification of villagers with their government by helping villagers to help themselves-- all within the setting of a villager "revolution of rising expectations", characterized by a crucial need for the creation of authentic primary institutions of the people for development purposes-- social, economic and political.

## 2. General Description of Internal Communications.

Iran in comparison to a number of mid-eastern countries, is a large country averaging approximately 1,000 kilometers from North to South and approximately 1,400 kilometers from East to West. One of the prerequisite needs of our country has been that of establishing an adequate communications system and net work to bring our people and government closer together and to provide for development activities, improved trade and commerce, etc.

Transportation improvements in Iran are not easy due to a number of factors such as precipitous mountain ranges, lack of land-holding vegetation, long dry spells, heavy erosion, dust storms in the south, etc., and the heavy capital outlays required for laying down of an adequate system of roads across long stretches of, in many instances, barren, lesser developed areas. Nevertheless, significant strides have been taken in these respects over the past decade.

Rail service now exists from Jolfa on our northwestern border

to Meshed near our Eastern border; from Tehran to Bandar-Shahpour and Bandar-Khoramshahr, on our southwestern coast, and from Tehran south to Kashan, a little over halfway to our metropolis of Isfahan. Rail service enters our country on the southeast from Pakistan as far as Zahedan, the capital of our southeastern Province of Baluchistan. We look to the time when rail service will link our nation completely in its interior from north to south, that is, on down from Kashan to Kerman and from there to the southern port of Bandarabbas (which we are now giving great emphasis for improving and developing, as well as on over from Kerman to Zahedan to complete trans-rail service for the country from south-east to north-west.

Telegraph service exists to all Ostans, Shahrestans, most Bakhshs and larger Municipalities. Telephone services, although inadequate in some of the more remote areas and in cases for long distance, exist from Tehran to all Ostan capitals, to all Shahrestans, most Bakhshs and Municipalities, and to a few villages.

Radio Tehran reaches all areas, all Ostans have radio broadcasting stations, some of the stronger of which (notably Zahedan, Kermanshah, and Ahwaz) reach the whole country. The Armed Forces, The Gendarmarie and police, of course maintain their own radio communication facilities and networks, which in most cases penetrate to all areas of the country.

Iran Air maintains regular daily flight services to all Ostan capitals and most other major cities throughout the country.

Paved highways now exist from Tehran to Isfahan and to Shiraz in the south west; from Tehran to Resht in the north-west and to the caspian area; and from Tehran to Hamadan towards the southwest. The paved road built during World War II from Khoramshahr in the south-west to the northwestern border is presently in need of extensive repairs in various stretches. Gravel roads are maintained to provide year-round access to all Ostan capitals not yet reached with paved roads, to all Shahrestans and Bakhshs, and to all major rural areas including a system of village access roads to many villages of the country. Our Third Five Year Plan contemplates major strides in the additional construction of paved highways, notably south from Isfahan to Kerman to Bandarabbas on the south approximately central coast, as well as from Tehran to Meshed on the east; and from Gazvin on the Resht road to Tabriz in the northwest.

Postal services exist to all Ostans, Shahrestans , Bakhshs, Municipalities, and the larger and more centrally located villages.

Tehran publishes a number of daily newspapers and all Ostan capitals publish one or more weekly or bi-weekly newspapers. Some Shahrestan capitals also publish one or more weekly, bi-weekly, or monthly newspapers.

Tehran and Abadan have TV stations which, as transmission cables have not yet reached other areas, are presently only available in the immediate incivities of these two cities.

### 3. Broad pattern of General and Local Government

The National Government, consisting of three major branches, the Excecutive, Legislative, and Judicial, is a constitutional Monarchy, with a bi-cameral Legislature, the form of administration is unitary and has been highly centralized from the national to the local levels.

The Excecutive Branch under the direction of the Prime Minister through the Council of Ministers, is composed of the following Ministries:

Interior, Foreign Affairs, Court, Finance; War, Justice; Agriculture; Health; Education; Labor; Commerce; Roads; Posts; telephone, and Telegraph. In addition the National Plan organization exists at Ministry level for development planning.

The Minister of Interior is charged with the central responsibility of administering the country from the national to the local levels. As described above the Ostandars, Farmandars, Bakhshdars, and Kadkhodas are appointed by and are responsible to the Ministry of Interior.

While each of these officials is in charge in his respective political unit-- the Ostan, the Shahrestan, the Bakhsh, or the village-- various of the other Ministries, such as Agriculture, Health, Education, and Roads, have representatives at various of these levels of Government administration, and in the past have most often been not only technically but administratively directly responsible to the individual Ministry in Tehran (For the approval of even the most minor matters, local officials had to obtain the approval of Tehran-- such made for incredibly long delays and uncertainty in the local areas) and such, of course, did not provide a feasible sturcture of administration nor coordinated planning or operations for development. It should be added that

many officials of the Technical Ministries replaced what had traditionally been landlord representation in the recent election of the new Parliament.

The Judicial Branch is composed of a supreme Court of the people, Ostan, Shahrestan, and Bakhsh Courts. In general, the more serious the offense, the higher the Court. In addition there are special Military Courts.

#### 4. Present Government Services

Aside from administrative services of the Ministry of Interior ( which include census, statistics, registering of births, marriage, death, military conscription, border control, and urban and rural police services), the Government provides the following major technical services to varying extents throughout the country:

##### (1) National Community Development Program of the Ministry of Interior.

In brief, the National community Development Program may be regarded as the fulcrum, or administrative program process for getting Government technical services to the rural areas in coordinated, systematic fashion and at the same time providing for the participation of the rural populace in the national development effort on a selfhelp and aided self-help basis. It is based upon the utilization at the village level of multipurpose workers who utilize the specialist technical know-how of the various technical ministries posted at higher levels for carrying out projects and otherwise working with villagers across-the-board in areas of social, economic, and political development. This key program is now to undergo new emphasis with the recent approval of the village autonomy and Community Development Decree and Government reorganization for decentralization and improved coordination in the provision of technical services to the rural areas, as shall be discussed presently.

The Ministry of Interior is responsible for the administration of municipalities. Until very recently such was administered through a bureau of Municipalities. The Bureau was abolished in October, 1963, in keeping with Ministry of Interior reorganization for administration through approximately 6 planned major regional offices, such offices to deal with all administrative and program matters of the particular region. A Financial Office



in the Ministry of Interior is set up to deal with municipal budgets and other matters pertaining to taxes.

In brief, municipal law 3/ provides for the election of municipal Councils for four-year terms, with the councils authorized to appoint majors for two-year terms. Municipal Council membership is honorary; Mayors receive salaries based on classification according to annual incomes of the Municipalities. The provisions of the law envisaged councils be elected by universal suffrage; unfortunately as of yet they are not but rather are generally representative of only small minorities. Although the Council and the Mayor by law have considerable authority in practice strong influence is exerted by the provincial Governor and the National Government on the decisions of the Council and Mayor. It is hoped that the new reorganization, decentralization, and program for establishment of local autonomy will rectify this situation.

It should be noted that according to the Municipal Law, a Municipality's gross income is utilized as follows: 10% to Health, 5% to Education, 3% to physical Education, and 2% (for Municipalities which have more than 500,000 Rials annual income) to the former Bureau of Municipalities from which the budget of the Municipal Association was derived (this matter is currently unsettled), and not to exceed 19½% for the Municipality's own administration, not to exceed 20% for its own Personnel (these two items being separated) and not less than 40% for development approximately 20% of which goes to Plan Organization for Municipal projects to meet ½ the cost of individual projects with the Plan Organization paying the other ½ for the individual project.

Municipalities with Councils only inform the Ministry of Interior of their approved budgets; municipalities without Councils require specific approval by the Ministry of Interior of

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3/ Parliament granted municipalities a degree of local autonomy in 1949 when it gave them considerable freedom to determine local matters except in financial affairs which had to be approved by the Ministry of Interior. In 1955, Parliament ratified a new municipal law providing for the election of city councils and granted them considerably more autonomy than they had ever been granted in the past. This law, with two relatively minor amendments in Oct., 1963, is still in effect, and a new one is presently under consideration.



their budgets with all Municipal budgets being allocated according to the above stated percentages.

## (2) Agriculture.

Mayor services in agriculture and related areas include (1) the Agricultural Extension Service, whose field staff, according to the provisions of new Village autonomy and Community Development Decree, is to be withdrawn to the Bakhsh level for work with and through the Multi-Purpose Village Level Workers of the National Community Development Program, (2) The Seeds and Seedlings Institute, (3) The Chemical Bongah, (4) The Livestock Bongah, (5) The Farm Machinery Bongah, (6) The Razi Institute (Veterinary Service), (7) The Forestry Service, (8) The Agricultural Credit and Rural Development Bank, and (9) The National Cooperative Organization.

(A Bongah, it should be noted, is a semi-autonomous organization of a Ministry functioning under a Board of Directors and a Director; its actual degree of autonomy is most often determined by the political strength of the Director and/or Board of Directors viz a viz the Minister who happens to be in office at the time.)

Until recently the Community Development Program was organized as a Bongah of the Ministry of Interior; it is now being reorganized as a new mayor division of the Ministry of Interior, (Ediary Kol, known as the Social Affairs and Community Development Administration). Although the Ministry of Agriculture had undergone some reorganization recently, announcement has been made of the scheduling of more far-reaching reorganization in the near future in keeping with the Government plans for decentralization, improved coordination and efficiency in the provision of rural development services.

## (3) Health.

The Minister of Health maintains a somewhat extensive system for the provision of services both for Curative and Preventive Health, which it is beyond the extent of this paper to list in detail. Mayor components of the Curative Health Program include:

- (1) Curative and care Health Facilities, including the system of General Hospitals, Tuberculosis Hospitals and sanitoriums; Mental institutions and Hospitals; Leprosia; Veneral Disease Control Centers, Mobile Units, and the Tehran Veneral Disease Hospital; General Health Centers, Clinics, Health Stations,

Health Offices, etc.

- (2) Support Services, including Nursing, Social Services, Nutrition, and Administrative Services,
- (3) Program for Communicable Disease Treatment, which is an somewhat extensive program;
- (4) Maternal and Child Care, which has not been developed extensively especially in the rural areas as yet,
- (5) Chronic Diseases, Geriatric Care, and Rehabilitation which in some respects is only beginning
- (6) Mental Health Services which are as yet not extensively developed,
- (7) Dental Care,
- (8) Drug Addition,
- (9) Alcoholism--Treatment and Control,
- (10) Military Medical Care, and,
- (11) Treatment of Industrial Diseases.

Major Components of the Preventive Health Program include:

- (1) Health Education
- (2) Environmental Health and Sanitation Program.
- (3) Programs for the Prevention of Communicable Diseases,

Other activities with which the Ministry of Health is concerned are Laboratory Services, Training Facilities, and its Research Program.

The Extent of services listed for Agriculture, Health, and Presently to be listed for Education, should not to taken to indicate the full staffing for and provision of each or even basic services in each field to each village or even all rural or urban areas of the country. No Government, of course, could possibly afford even a reasonably trained technician in each of these specialized fields or even major fields for each of our more than 49,000 rural settlements. The transportation problem alone would be insurmountable even if such were practical. Lack of coordination in program planning and staffing for the provision of services has resulted in overlapping and duplication of services in some areas, no services at all in many other areas, in the projection of organizational patterns which could never be staffed for financial reasons as well as concerning realistic possibilities for providing trained manpower, etc. even if such were technically feasible and practical.

That is one reason why recent legislation for decentralization places increased authority and responsibility in the hands of the Ostandars not only for coordinating the administration of the Ostan but also for development services and activities of the various technical ministries, e.g., to prevent the further uncoordinated staffing of individual development plans and programs which results in massive wastes of resources in training, manpower, money, work, and time without effectively mounting and carrying out a development program capable of profound and meaningful accomplishments and progress in more reasonable proportion to outlays. The new Village Autonomy and Community Development Decree provides that all field health personnel, except those stationed in clinics and hospitals, will be withdrawn from the village to the Bakhsh level for working through and with the Multi-purpose Village Level Workers of the Community Development Program. Such, including the other Technical Ministries concerned, should enable us to provide basic technical services to all of our villages in the foreseeable future in an economically and technically feasible fashion.

#### (4) Education.

The Ministry of Education maintains basic programs in primary, secondary and university Education, Vocational Education, adult and fundamental education( which has been reduced and is not to be further expanded for reasons to be noted presently), kindergartens, Fine arts, Teacher Training Program, School Textbooks, School and Public Library, and Special Schools Programs, etc.

Iranian's educational needs are crucial. The system of village schools is still highly inadequate both in quality of instruction and number. No secondary schools exist in villages. The teacher training Program, although serious efforts are currently being made to step it up and improve it, is still not able to meet minimum needs.

A new program has recently been inaugurated by the Ministry of Education in cooperation with the Army whereby two-year Army recruits after a brief period of training are sent to the villages to serve as village school teachers. The principal objective of the program is to get village children into school. The new Village Autonomy and Community Development Decree provides that village school teachers in areas where there are no Village

Level Workers will, to the extent possible, also perform the functions of Village Level Workers and in responsibilities pertaining to local autonomy will be responsible to the Ministry of Interior.

(5) Roads.

Ministry of Roads personnel are stationed as far down as the Shahrestan level and are responsible for maintaining roads between major centers throughout the country. Thousands of kilometers of village access roads have been built on a self-help and aided self-help basis by villagers through the Community Development Program.

5. Central Government Services Provided to or Supporting Local Authorities

(1) Municipal Association. Established in 1956, the Iran Municipal Association, working in close relationship with and under the general guidance of the Ministry of Interior, is responsible for developing and implementing a program for the improvement of the overall governmental structure of the cities of the country. With a Board of Directors and an Executive Director appointed by the Minister of Interior, with a budget derived from 2% of each municipality's income paid to the former Bureau of Municipalities for technical assistance services provided to the municipalities by the Bureau and the Association, it has the following primary functions:

(a) Introduction of modern municipal management and administrative procedures and rendering guidance for their application to the municipalities of the country.

(b) Effective coordination of municipal affairs all over the country.

(c) Adaptation and conformation of their activities to the principles and methods of modern administration.

The Association fosters and holds conferences, publishes and circulates articles, pamphlets, and other materials, carries out on-the-job training programs, collects and centralizes information and statistics on the municipalities, carries out and circulates research studies on problems concerning municipalities, and works to establish more widespread civic consciousness, coordination between municipalities and governmental and

semi-governmental agencies and private organizations concerned in various ways with municipalities.

Plans are that increased emphasis will be placed on the work of the Municipal Association over the next four years; the Plan Organization has allocated Rials 3,500,000 per year for four years to be used by the Association, especially for training.

A new municipal law has been drafted and submitted for the consideration of the Minister of Interior.

(2) High Council on Government Administration. Established December 31, 1960, the High Council on Government Administration is located within the Prime Minister's Office. This Council, with a Board of Directors (with the Prime Minister as Chairman) and a Secretary-General (who also is a Deputy Prime Minister) who administers the council, with three Ministers (Interior, Finance and Justice) and the Director of the Plan Organization as members, is the one central unit of Government which has as its principal purpose and objective the overall improvement of all aspects of government administration.

There are presently three full-time task forces:

- (1) working on personnel problems;
- (2) another working on administrative systems and procedures;
- and,

- (3) another working on training. The decree establishing the Council authorizes two other committees which are expected to be established and put into action in the near future:

- (1) a local government committee, and (2) a finance committee. The budget for the Council is presently provided by the Plan Organization. It is expected that the program and operations of the High Council will be greatly accelerated in the immediate future. One of the items high on its agenda is promulgation of a Civil Service Code and improvement of the Civil Service System. The Code has been prepared and is presently before the Council of Ministers.

(3) The Plan Organization. The Plan Organization, established 15 years ago, presently operates under a Managing Director who is a Deputy Prime Minister responsible to the Prime Minister. Formerly concerned not only with planning but engaged as well heavily in development operations across the country, it is now

coming to direct its major impetus to planning and working with the various Ministries in their execution of development operations and projects. The Plan Organization exercises great power concerning development operations in general as a large share of our country's oil revenues go directly to the Plan Organization to be used for development projects which it approves. As to areas of development activity, the organization of this agency is both comprehensive and extensive. (see attached Organizational Chart.) The Plan Organization by agreement with and through the Ministry of Interior is posting a Technical Representative as Technical Deputy to the Governor-General in each Ostan to assist him in the carrying out of development plans for the Ostan.

- General

In keeping with the Government's policy to give prime emphasis to the establishment and development of an authentic system of local autonomy throughout the country ( a new municipal law) as previously noted is presently under consideration, a new "legal Decree Governing the Establishment of Village Councils and Improvement of Social Affairs and Community Development" was approved August 29, 1963. As many of you know, we have had a National Community Development Program for about 10 years and although the physical, economic, social , and other accomplishments of that program have been highly significant ( for example, more than 100,000 development projects alone have been carried out and completed), we believe that the new Decree, generally referred to as the Village Autonomy Law, now offers an opportunity to bring that program into full blossoming and fruition in all fo its aspects-physical, social, economic, and political.

We now plan to gice intensive emphasis to the establishment of the system and process for the free election of representative village councils. The new law gives the councils a significant degree of local autonomy. In addition to a comprehensive range of development activities and projects for which they have jurisdiction , the Law provides that 2% of the total income of all persons of the village go to the elected Village Council for the carying out of locally approved development and other regular local government activities. In this latter respect we look to a broadening of local goverment functions for the councils as they gain experience and to providiing for changing the presently appointed Khadkoodah by having the Khadkodah elected as a member of the five-member Council ( to be elected from among themselves, to serve as Chairman of the Council and as Khadkodah).



In order to provide the necessary technical development services to the Councils so as to give them validity and meaning, the Decree (as described above under the sections on Agriculture, Education, and Health) provides for a general withdrawal to and concentration of technical service development specialists at the Bakhsh level to work with and through the multi-purpose village level workers. Such will eliminate duplication and waste of effort and resources and will enable the Government to provide upgraded, improved, and more adequate technical assistance to the rural areas and to mount adequate coverage of the country, which now with the new village autonomy is not only crucial but offers new and outstanding development opportunities. The interaction process of developing village autonomy and the effective provision and utilization of technical and financial assistance for the self-help local autonomy efforts and work of our rural populace can serve to bring government and people together in a marriage for development and for the growth and establishment of representative government institutions on up from the village, then to the Bakhsh, then to the Shahrestan, then Ostan, and National levels.

Attached are organizational Charts for the recently reorganized National Community Development Program (which is to undergo further reorganization in the near future) as well as an organizational chart depicting the relationships between the various Technical Ministries and agencies from the National to the local levels.

As previously noted, the Ministry of Interior is presently undergoing extensive reorganization in keeping with the Government's policy for local autonomy, improved administration, and improved coordination of regular and development activities. The Ministry of Agriculture has recently announced steps for its reorganization in keeping with these policies, and other Ministries will be following

suit.

We are highly pleased with the total range of development opportunities that now present themselves in our country under the enlightened leadership of his Majesty--in their broadest contexts--social, economic, and political. Our program is especially valid in its full realization that social and administrative reform and political development are absolute prerequisites to real, durable, profound, and continuing economic modernization.

